U.S. Department of Education
Central Automated Processing System (EDCAPS)

Contingency Plan

March 31, 1999

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Executive Summary

The Year 2000 (Y2K) technology problem started as an innocuous short-term solution to the oppressively high cost of computer memory in the 1950s and 1960s. Programmers expected that the problems created by the limited, two-digit method of date storage would solve itself as companies, governments, and other computer-owners updated their hardware and software. However, 50 years after the introduction of the computer, the Y2K problem has the potential to develop into a worldwide crisis.

Although data systems have and are being tested to forestall Y2K errors, the U.S. Department of Education took the additional precaution of developing Contingency Plans to ensure continuous operations should any unprogrammed failure occur. The Office of the Chief Financial Officer (OCFO) established six business process teams to develop a contingency plan for the Education Central Automated Processing Systems (EDCAPS). The process teams were composed of representatives of those sections responsible for the core business processes of the EDCAPS program.

This Contingency Plan is designed to prepare the OCFO to support internal and external customers should EDCAPS and its dependent infrastructure fail on January 1, 2000. The plan focuses on the core business processes that use EDCAPS. The plan outlines procedures that may be used to ensure the continuity of those processes by identifying, assessing, managing, and mitigating Year 2000 risks.

The plan is based on the following assumptions:

- The Department of Education will be open for business on Monday, January 3, 2000.
- The duration of the failure will be no longer 60 days.
- The level of detail of Contingency Plans for internal, external, and infrastructure failures is dependent on the individual OCFO team's span of control.
- For some functions, the OCFO depends on agencies or activities outside its control such as the EDNET, World Wide Web, FEDWIRE systems, and the U.S. Treasury. It is assumed that those responsible for these systems and agencies have tested these essential systems for Year 2000 compliance.
- An OCFO Crisis Management Team will have representation in all Department of Education contingency efforts.

Through a series of workshops, the teams identified core business processes and current procedures. They then defined and prioritized Year 2000 failure threats and identified processes that would be impacted by each failure threat. Using the scenarios and impacts they had developed, teams then subjectively allocated risk factors for the probability of the failure actually occurring and the impact of the failure on the process if it did occur. Each process was then rated using the team-established criteria. Ratings encompass a range from very low probability and low impact, to high probability and high impact. The teams' assessments reveal that more than four-fifths (84%) of the processes under study were rated as high probability/high impact.

Compilation of this data and a thorough review by the teams led to the development of Contingency Plans that addressed failure threats, the impact of those failures, prevention strategies, failure responses, and recovery procedures. The plans also outline required resources and the timing strategies critical to the success of continuing OCFO operations. After the plans had been drafted, those plans considered most critical to the OCFO mission were identified for testing. The goal was to test the plans to validate the its completeness, accuracy, and approach to meeting operational requirements.

At a March 10, 1999, meeting, the EDCAPS Steering Committee chose to test Contingency Plans using a "Desk Top" approach. This testing approach involved staff members representing various divisions, branches, or sections directly involved in the process. Staff members administratively "role-played" a simulated situation performing the manual preparation of logs, forms , and spreadsheets, and the physical passing of information among offices to complete each action. The tests focused on validating the mechanics of the plans themselves. Because of costs and time constraints, no attempt was made to judge if the plan could accommodate high or continuously high volumes of transactions.

The simulations involved participants, graders, observers, and controllers from other department offices. All present were asked to evaluate the plans for their quality, accuracy, ease of use, completeness, and improvements. All plans passed the initial tests, meeting or exceeding the evaluation criteria.

Although the testing was favorably completed, the plans may need further refinement and coordination. Furthermore, OCFO staff must be trained on the plan steps before the plan can be deemed fully reliable. In addition, team members suggest the follow-on steps listed below.

- Coordinate with the U.S. Treasury to test FEDLINE and develop contingency plans for transmitting payment requests if FEDLINE is out of service.
- Establish a 'Day Zero Team' to convene on January 1, 2000 to test all systems, hardware and software, to verify full operation. If a system is found inoperable, senior management would be notified and the appropriate Contingency Plans initiated.
- Conduct coordination meeting with all parties (internal and external) providing or receiving information from EDCAPS Contingency Plans to verify "information links" and identify the content and format of information that must be exchanged.

I.   Introduction

To save memory in the early days of computing, programmers represented four-digit years with only two digits. For instance, 1968 or 1974 would be stored and processed as 68 and 74, respectively. The number 19, indicating years in the 1900s, was implied, much as personal checks once had the number 19 preprinted on the dateline. This worked smoothly until users started to input dates occurring after December 31, 1999. Computers ran into problems when required to calculate a number based on the difference in two dates, such as the interest due on a mortgage loan. Computers continued to assume that the prefix 19 was implied, so dates such as 00 or 01 were treated as 1900 or 1901. Consequently, computers could not correctly calculate the difference between a year in the 20th century and a year in the 21st century. For example, we know that the time between July 1, 1998, and July 1, 2005 is exactly seven years. However, a computer with a Y2K problem could calculate an answer of either 93 years or seven years, depending on the specific program. Calculations that used either of these results would be in error and may themselves cause subsequent problems.

Another Y2K problem occurs in the storage of information. Many kinds of data are organized and processed by date, such as driver's license records and credit card accounts. Computers have had problems processing credit cards that have expiration dates after December 1999. Due to two-digit dating, computers have thought that cards expiring in 2000 or later had expired almost a century ago.

The Y2K problem affects two general classes of equipment. The first class comprises business systems or mainframe systems. These computers perform a variety of data-intensive calculations—balancing accounts, making payments, tracking inventory, ordering goods, managing personnel, scheduling resources, etc. The second class of equipment has several common names, including embedded chips, embedded processors and embedded control systems. Many aspects of modern society rely on microchip-enhanced technology to control or augment operations. Examples are everywhere. Automatic teller machines, toll collection systems, security and fire detection systems, oil and gas pipelines, consumer electronics, transportation vehicles, manufacturing process controllers, military systems, medical devices and telecommunications equipment all depend on embedded chip-technology. Y2K related failures in business systems will generally cause an enterprise to lose partial or complete control of critical processes. In the private sector, loss of business systems means that a company may have difficulty managing its finances, making or receiving payments and tracking inventory, orders, production or deliveries. In the public sector, government organizations may be severely hindered in performing basic functions such as paying retirement and medical benefits, maintaining military readiness, responding to state and local emergencies, controlling air traffic, collecting taxes and customs duties, and coordinating law enforcement efforts.

Nearly every aspect of the Department of Education's mission will be affected by the Year 2000 millennium date change. As a result, it is essential that all in-house and vendor software, hardware, telecommunications, facilities, and embedded chips be tested for Year 2000 compliance. Because the scope of the problem is so pervasive and the end date unalterable, the risks to the Department of Education are high. Just as important is an

understanding of the risks that the Department of Education's business partners face. In the case of Grant and Award Programs, it is essential that the Department of Education work with state and local education agencies to gain an understanding of the risk these agencies face and the impact system failures may have on their ability to receive the financial aid on which they so heavily depend.

A.   Purpose

This Contingency Plan is designed to prepare the Office of the Chief Financial Officer (OCFO) to support internal and external customers should Education's Central Automated Processing System (EDCAPS) and its dependent infrastructure fail on January 1, 2000. The plan focuses on the core business processes that use EDCAPS and identifies procedures to ensure the continuity of those processes by identifying, assessing, managing, and mitigating Year 2000 risks. The plan identifies failure threats, the impact of those failures, prevention strategies, failure responses, and recovery procedures. It further outlines the resources required and the timing strategies that are critical to the success of continuing OCFO operations.

As part of the Department of Education's Year 2000 Program Office initiatives, the OCFO has dedicated resources to ensure that the office will function properly on January 1, 2000. EDCAPS has been validated as Year 2000 compliant. Although this effort significantly reduces the likelihood of failure, it cannot be guaranteed that EDCAPS or its components systems will operate as intended. If EDCAPS does not operate properly, the impact of a Year 2000 failure would be high. Consequently, this plan was established to identify a set of manual procedures in the unlikely event that the OCFO experiences an EDCAPS failure.

B.   Scope

The objective is to keep the OCFOs processes operating through the turn of the century. The processes are, by design, the centerpiece of the plan. This ensures that both IT managers and functional managers are using the processes to establish system requirements and not the reverse. The plan focuses on EDCAPS' component systems and the impact of their failure on the OCFO operations. The plan also addresses the threats that external interfaces and non-IT infrastructure may pose. Although other areas of the Department are managing their own Contingency Plans, information links and transfer points are critical junctures for the plan. Unimpeded information flow is an overall objective requiring detailed coordination with internal and external customers.

C.   Methodology

The OCFO established six business process teams to develop the EDCAPS Contingency Plans. The process teams were composed of representatives who are responsible for the core business processes of the EDCAPS program. Through a series of workshops, the teams identified core business processes and current procedures. These business processes are documented in Appendix A: Core Business Process. Teams defined and prioritized Year 2000 failure threats and identified processes that would be impacted by each failure threat. Once baseline data and probable failure scenarios were established,

the teams conducted an extensive analysis of the extent to which processes would be impacted by systems failures. This analysis is detailed in Appendix B: Impact Analysis Matrices.

Compilation of this data, along with additional workshops, led to the development of EDCAPS Contingency Plans. To build their plans, teams used Year 2000 Planning Worksheets that were designed to capture pertinent information related to Year 2000 preparedness activities. The worksheets help to identify specific risk mitigation, response activities, and recovery procedures for each core business process. Teams also documented the resources required and responsibilities associated with each failure threat along with implementation timing. Contingency plans, fully described in Section V, were then assembled based on the information gathered using the worksheets.

The final step was to gauge whether the separate Contingency Plans would actually work. An evaluation plan was developed to simulate a complete EDCAPS failure and allow representatives to carry out the steps of the Contingency and Recovery Plans to ensure the plan is accurate, complete, and most important, achievable. The Contingency Plan test is described in Section IV. Results of the tests are also included in that section.

D.   Assumptions

The OCFO/EDCAPS Teams incorporated the following assumptions into the Contingency Plan:

1. The Department of Education will be open for business on Monday, January 3, 2000.
2. The duration of the failure will be no longer 60 days. This time period ensures that all OCFO core business processes are addressed.
3. The level of detail of Contingency Plans for internal, external, and infrastructure failures is dependent on the individual OCFO team's span of control. For example, EDCAPS system failures are covered in the greatest detail because it is under the complete control of the OCFO.
4. For some functions, the OCFO depends on agencies or activities outside its control such as the EDNET, World Wide Web, and FEDWIRE systems, and the U.S. Treasury. It is assumed that those responsible for these systems and agencies have tested these essential systems for Year 2000 compliance.
5. An OCFO Crisis Management Team will have representation in all Department of Education contingency efforts.

II.   EDCAPS Overview

The U.S. Department of Education has upgraded and streamlined its core management work processes, including the systems and technologies supporting these processes with a combination of software packages known as the Education Central Automated Processing Systems (EDCAPS). EDCAPS incorporates the following functions:

- General Ledger—includes preparation of financial statements and reconciliation of general ledger balances with subsystems maintained in program areas and the U.S. Treasury
- Funds Management—includes budget formation, budget execution, and funds control
- Grants pre-and post-award processing—includes grant application, program payments, and accounting
- Contract pre- and post-award processing—includes contract award, purchasing, and invoice processing
- Receivable Management
- Fixed Asset Management
- Cost Management
- Administrative Processes—includes purchasing, travel, and miscellaneous payments

EDCAPS is a fully integrated system composed of two primary commercial, off-the-shelf components for General Ledger and Procurement processes and one custom component for processing grant, award, and student aid transactions.
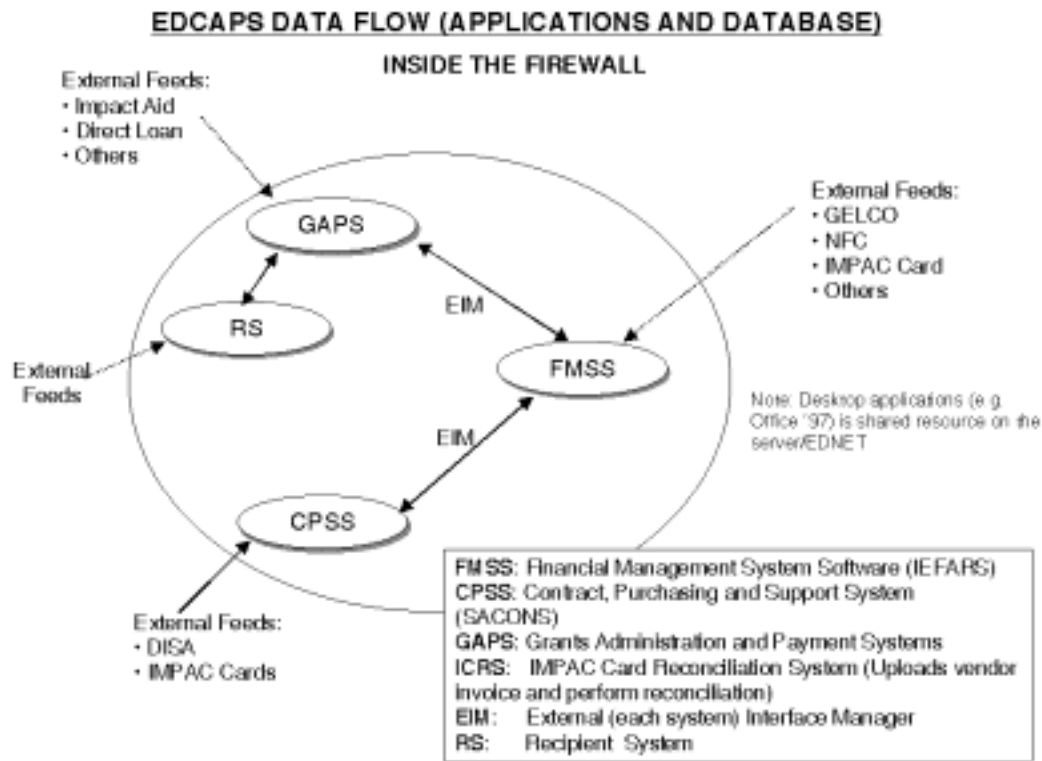
Figure 1 - EDCAPS Components

EDCAPS was authorized by Article I, Section 9 of the Constitution, the Budget and Accounting Act of 1921, the Budget and Accounting Procedures Act of 1950, the Anti-Deficiency Act, the Congressional Budget and Impoundment Control Act of 1974, the Federal Managers Financial Integrity Act of 1982, the Chief Financial Officers Act of 1990, the Government Performance and Results Act of 1993, and the Government Management

Reform Act of 1994. Its major components are Financial Management Systems Software, Contracts and Purchasing Support Software, Grant Administration and Payment System, Recipient System, and Integration Support Services. The relationship of these components is shown in Figure 1.

Financial Management Systems Software (FMSS) provides the functionality for general ledger and funds management which includes budget formulation, budget execution, funds control, and all related internal and external reports, including financial statements as set forth by the Chief Financial Officer's Act of 1990, amended in 1994. FMSS also includes receipt management; payments management for administrative funds; funds availability checks for Federal Family Education Lean Program (FFELP); cost management with performance measures.

Contracts and Purchasing Support Software (CPSS) supports contract pre- and post-award processes and the purchasing process. It interfaces with FMSS at the detail level for fund control, general ledger, accounts payable, and accounts receivable.

Grant Administration and Payment System (GAPS) supports grant planning, pre-award, and the management of the Department's award programs, including discretionary, formula, fellowship, and block grants. GAPS also interfaces with other program office systems, referred to as 'feeder systems', to process their obligation and payment data. Program feeder systems typically support the planning, scheduling and award processes performed by the program office to manage their programs (e.g., Impact Aid, Campus-Based, Pell Grant). GAPS controls payments for the Department's programs including payments for grants and direct loans and various other program-related obligations. GAPS serves as a subsidiary to the FMSS general ledger for program-related obligations, payments, and expenditures. GAPS interfaces with FMSS at the summary level for funds control and general ledger postings.

Recipient System (RS) serves as a customer database for the Department. Functionally, the RS validates whether an entity, which may be a recipient of funds via the grants or student aid process, is eligible to receive funds. It also maintains various indicative data regarding contracts, mailing addresses, bank account information, tax identification information, and whether an entity is currently under suspension or debarment.

Integration Support Services (ISS) refers to the services required ensuring seamless integration of all EDCAPS applications. The ISS performs all Department specified tasks and activities necessary for full implementation of EDCAPS, including an integrated data dictionary, system-wide security, interfaces, training, documentation, system conversion, overall hardware and telecommunications, and technical support of applications other than FMSS, GAPS, and CPSS, and support of the Government's project management EDCAPS. These services support the Department in the coordination of the schedule and technical aspects of all EDCAPS modules.

EDCAPS gathers information internally and externally. Figure 2 shows the various external relationships EDCAPS maintains.

EDCAPS EXTERNAL INTERFACES

EDCAPS External Interfaces	Incoming (I)/ Outgoing (O)	Entity Type/ Name of Service Provider
CPSS Externals:		
DISA EDI Transactions	I/O	DISA
CBD	O	Dept. of Commerce
IMPAC Card Charges	I	Nations Bank
FMSS Externals:		
Accounts Receivable	I/O	Dept. of Treasury
Direct Loan	I	CDSI/EDS
GA Lender	I	E-Systems
GELCO Services	I	GELCO
Payroll	I	Dept. of Interior
IMPAC Card Charges	I	Nations Bank
NFC Payments	O	NFC/USDA
GOALS-SF224	O	Dept. of Treasury
Payments/Disbursements	O	Dept. of Treasury
Reporting:		
- FACTS	O	Dept. of Treasury
- 133	O	Dept. of Treasury
- Lockbox	I	Mercantile Bank
GAPS Externals:		
Campus-Based	I/O	Lockheed Martin
Direct Loan	I/O	CDSI/EDS
Impact Aid	I	Lockheed Martin
Pell Grant	I/O	Lockheed Martin
Treasury AR Offsets	I/O	Dept. of Treasury
FRB FEDLINE	I/O	Dept. of Treasury
RS Externals:		
EIN/DUNS	I	Dunn & Bradstreet

Figure 2 – EDCAPS External Interfaces

III.   Contingency Plan Overview

A.   EDCAPS Business Impact Analysis

Business impact analysis constitutes an identification and exploration of events, situations and circumstances that may negatively influence, hamper, forestall, or halt operations. Business Process Teams identified Y2k situations or events, called failure scenarios, that could, if they occurred slow, or disable the business process under review.

Once failure scenarios were developed, the teams discussed the possible effects each scenario could have on the processes. Participants also identified dates or times important or significant for each process and the volume of work handled during the process. Volume was defined as "the amount of work or number of items handled in a specific period of time". Using the volume as a base line, the teams also identified the minimum level or volume of work that must be completed in order to satisfy their customer. This minimum level was described as the *acceptable threshold for process performance*.

B.   Risk Assessment

Using the scenarios and impacts they had developed, teams then subjectively allocated risk factors for the probability of the failure actually occurring and the impact of the failure on the process if it did occur. Ratings were awarded using the criteria shown below. Criteria are shown followed by a point value in parenthesis.

Probability [Answers the question: How probable is it that the failure scenario will occur?]
Almost Certain (4), *Likely* (3), *Moderate* (2), *Unlikely* (1), *Rare* (0)

Impact [Answers the question: What would be the impact if the scenario did occur?]

Extreme (4) - survival of stakeholder is threatened and major problems would be caused for the organization.
Very High (3) – the consequence would threaten the continued operation of the organization and would require intervention from top level management.
Medium (2) – survival of the organization is not threatened, but significant changes to current operation methods would be required.
Low (1) – the consequences threaten efficiency or effectiveness, but could be dealt with internally.
Negligible (0) – the consequences could be dealt with by routine operations.

Each process was rated using the aforementioned criteria and an overall rating derived by using the highest rating in each category. To better understand the criticality of the scenarios, the ratings were then plotted on a risk assessment matrix (Figure 3). Ratings encompass a range from very low probability and low impact, to high probability and high impact. The teams' assessments reveal that more than four-fifths (84%) of the 25 processes under study were rated as high probability/high impact. Detailed analysis information is found in the business impact analysis matrices at Appendix B.

IV.   Contingency Plan Test Results

A.   Test Methodology

After Contingency Plans had been drafted, those plans considered most critical to the OCFO mission were identified for testing. The goal was to test the plans to validate the their completeness, accuracy, and approach to meeting operational requirements. Sufficient simulated actions were processed to fully exercise each Contingency Plan. The tests focused on validating the mechanics of the plans themselves. No attempt was made to judge if the plan could accommodate high or continuously high volumes of transactions.

At a March 10, 1999, meeting, the EDCAPS Steering Committee selected a "Desk Top" approach to testing the Contingency Plans. This testing approach involves staff members representing various divisions, branches, or sections that are be involved in the process. Staff members administratively "role-play" a simulated situation performing the manual preparation of forms and spreadsheets, and the physical passing of information among offices to complete each action.

For this series of tests, participants were told that the entire EDCAPS system had failed. They were instructed to implement their Contingency Plan in order to provide service to their customer(s). Time and dates relative to January 1, 2000, for each scenario reflected initiation dates established in the respective plans.

At the close of the test, those involved were asked to complete test evaluation forms (Figure 4). Each plan was rated in twelve areas. Ratings range from "1" (Does Not Meet Requirements) to a "5" (Exceeds Requirements). The scores from each evaluation sheet were combined and an average rating determined for each process. Average scores were calculated using the following formula:

Total of all raw scores ÷ number of questions answered ÷ number of evaluations = Average Score

Example: Eight score sheets were submitted for each test. The total of all eight raw scores is 292. Eleven questions were answered by each evaluator. The average evaluation score is calculated as follows:

$$292 \div 8 = 36.5 \quad \text{average raw score}$$
$$36.5 \div 11 = 3.3 \quad \text{average evaluation score}$$

An average evaluation score of "3" (Meets Requirements) or higher is considered a passing score. Additional comments and recommendations were also solicited.

CONTINGENCY PLAN EVALUATION FORM

PROCESS NAME _____ TEST DATE _____ ROOM NR. _____

EVALUATION TYPE: (CIRCLE ONE)   GRADER   CONTROLLER   PARTICIPANT

EVALUATOR'S OFFICE: (CIRCLE ONE)   OCFO   OSFA   OESE   BAH

Rate the plan using the criteria below. Circle one value for each criteria using the scale on the right.	Does not Meet 1	Mostly Meets 2	Meets 3	More Than Meets 4	Exceeds 5	N/A -
1. Plan steps and directions are easy to understand.	1	2	3	4	5	-
2. Plan steps and directions are easy to follow.	1	2	3	4	5	-
3. Plan steps follow a logical sequence that facilitates producing the final product.	1	2	3	4	5	-
4. Plan steps lead user to collect and process all required information.	1	2	3	4	5	-
5. Actions directed in plan steps are realistic and do-able.	1	2	3	4	5	-
6. Plan provides alternative actions when applicable.	1	2	3	4	5	-
7. Forms developed to support the plan are easy to use.	1	2	3	4	5	-
8. Forms developed to support the plan collect the correct information.	1	2	3	4	5	-
9. Plan easily accepts/accommodates data from other processes or systems.	1	2	3	4	5	-
10. Plan output is accurate and complete.	1	2	3	4	5	-
11. Plan output is in form acceptable to customer.	1	2	3	4	5	-
12. Plan output is in a form that facilitates transition to normal operations.	1	2	3	4	5	-

Total Raw Score [   ]

Please make comments, observations, or recommendation on the back of this form.

Figure 4—Contingency Plan Evaluation Form

B.   Test Results

1. Results of the tests are as follows:

Process Name	Process Owner	Average Score*	Pass/Fail
Conferring Grants/Awards	R. Harding	3.3	Pass
Feeder File Obligations	R. Harding	3.3	Pass
Grant/Award Payments	R. Harding	3.3	Pass
Admin Payments	M. Mantiply	3.3	Pass
Payment Confirmation	M. Mantiply	3.2	Pass
Budget Execution	M. Mantiply	4.4	Pass
Accounts Receivable	M. Mantiply	3.6	Pass
Collections Received at Ed.	M. Mantiply	3.4	Pass
Contract Award	J. Milazzo	3.3	Pass
Contract Administration	J. Milazzo	3.4	Pass

V.   Contingency Plans

A.   Grant/Loan Award

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. GAPS fails – FMSS OK. Failure lasts 60 days or less (applies to all scenarios)	a. Cannot process grants/awards
b. FMSS fails, but GAPS is operational	b. Can process only up to commitment for discretionary programs. Can process only up to obligation for formula programs
c. On-line interface fails – GAPS/FMSS OK	c. Can process only up to commitment for discretionary programs and only up to obligation for formula programs
d. RS only fails	d. Can process grants as long as grant is not for a new recipient (needs new DUNS Nr.)
e. CPSS only fails	e. No effect
f. Cannot transmit or receive data electronically	f. No effect

Possible Failures	Possible Impact(s)
g. EDNET fails	g. Cannot process grants. EDNET LAN must be operational to allow access to GAPS/FMSS/CPSS/RS

2. Assumptions
   a. A Grant Award document template and instructions are available (See Appendix C). Copies of all grant award clauses and attachments and current fund availability balances by accounting code will be available during the shut down period for all Program/Executive Offices. Awards made during the shut down period will not be available for disbursement until GAPS has completed the recovery process.
   b. Second quarter allotments need to be posted in FMSS prior to 12/31/99.
   c. Only emergency awards will be made during the shut down period.
   d. Program Offices (POs) and OCFO will generate an available balance report as of 12/31/99, from FMSS.

3. Mitigation Actions
   a. Procedures
      1) POs announce grant competitions with closing dates prior to 10/15/99.
      2) Applications are logged into GAPS by OCFO.
      3) POs make funding decisions prior to 12/15/99.
      4) POs obligate the awards prior to 12/31/99.

   b. Resources Required
      1) Equipment: Existing PCs connected to LAN.
      2) Staff Hours: Present staff.
      3) Recommended Staffing: N/A.

   c. Roles and Responsibilities
      1) POs establish early closing dates for submission of grant applications.
      2) OCFO logs applications into GAPS.
      3) POs reviews applications, make funding decisions and obligate awards by 12/31/99.

   d. Implementation Timing
      For awards to be completed by 12/31/99, application closing dates must be no later than 10/15/99 and final funding decisions must be made by 12/15/99.

4. Contingency Actions
   a. Procedures
      1) POs makes final funding decisions.
      2) PO Executive Offices commit funds for recommended awards (Discretionary Awards Only).
      3) POs prepares award document using the template.

    4) POs Executive Office obligates funds.
    5) POs signs the award document.
    6) POs provides OCFO and OLCA (discretionary awards only) a copy of the obligated award document.
    7) OCFO reviews for completeness and holds obligated award document until GAPS becomes operational.

  b. Resources Required
    1) Equipment: Existing PCs if useable.
    2) Staffing: Current Staff.
    3) Recommended Staffing: Two.

  c. Roles and Responsibilities
    1) Executive Offices – Record commitments and obligations and track funds availability.
    2) Program Offices – Processes manual awards and ensures OCFO receives a copy of all manual award documents.

  d. Implementation Timing
    Once the determination has been made that the system will be down for more than 30 days, OCFO will notify Program and Executive Offices to implement the manual award procedures.

 5. Recovery Actions
  a. Procedures
    1) For all manual awards documents received during the shut down period, OCFO will enter grant award data, commit funds in GAPS to FMSS, print grant award documents, and obligate funds in GAPS to FMSS.
    2) OCFO will generate congressional notification letter for all manual discretionary awards to avoid duplication of letters produced manually by OLCA.
    3) OCFO will provide grant award documents to the PO's for their files and notify them when the recovery is complete.
    4) All manual awards documents will be filed and maintained until the end of the fiscal year for verification purposes.
    5) For multi-year awards, a single amount will be entered in each budget worksheet requested and recommended amounts will be posted.

  b. Resources Required
    1) Equipment: Existing equipment with LAN connections.
    2) Staff Hours: 100 Hrs. (15 minutes per transaction / 300-400 awards).
    3) Recommended Staffing: Six.

  c. Roles and Responsibilities
    OCFO/Financial Systems Operations/Functional Application Group will enter all manual awards into GAPS. Their access allows them to complete the entire

process, which will speed the recovery and the availability of funds for payment purposes.

    d. Implementation Timing
After notification by the supervisor of the OCFO/Financial Systems Operations/Systems Operations and Maintenance Group that GAPS and FMSS have returned to stable operation; the GAPS functional group will work to restore GAPS.

B.   Feeder Function Obligation

    1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. GAPS fails – FMSS OK. Failure lasts 60 days or less (applies to all scenarios)	a. Cannot initiate process
b. FMSS fails, but GAPS is operational	b. Run file in-out records fail; cannot obligate. Can set up Cash Control Account (CCA) amounts for direct loan
c. On-line interface fails – GAPS/FMSS OK	c. Run file in-out records fail; cannot obligate. Can set up CCA amounts for direct loan
d. RS only fails	d. Can process the file with exception of DUNS Nrs that don't exist in RS
e. CPSS only fails	e. No effect
f. Cannot transmit or receive data electronically	f. No effect – But Dept. of ED cannot receive incoming files
g. EDNET fails	g. Cannot process grants. EDNET LAN must be operational to allows access to GAPS/FMSS/CPSS/RS

    2. Assumptions
       a. Feeder Function staff will submit obligations to cover disbursements through the month of January 2000.
       b. The Procurement Request (PR)/Award Number available balance will be taken from GAPS as of 12/31/99 to record the manual obligation.
       c. Summary level accounting [Account Classification Codes (ACC)] balances will be available from FMSS as of 12/31/99.

3. Mitigation Actions
    a. Procedures
        Provide Office of Student Financial Aid (SFA)/Office of Elementary and
        Secondary Education (OESE) obligation files in advance of reporting from
        schools (based on estimates) by COB 12/17/99. (SFA/OESE drive this process
        by providing obligation data as it is received.).

    b. Resources Required
        1) Equipment: Existing PCs connected to LAN.
        2) Staff Hours: Present staff.
        3) Recommended Staffing: N/A.

    c. Roles and Responsibilities
        1) Office of Post-Secondary Education (OPE) and OESE must calculate the
            obligations to cover the disbursements through the month of January and
            generate the files.
        2) Direct Loan must increase CCA amounts online or generate a CCA file to
            cover the expected disbursement for the month of January.
        3) OCFO must successfully process the file through GAPS/FMSS.

    d. Implementation Timing
        1) OPE and OESE must provide the obligation file before 12/29/99.
        2) Direct Loan must increase CCA amounts via file or online before 12/29/99.
        3) OCFO must successfully process the file before 12/31/99.

4. Contingency Actions
    a. Procedures
        1) Each obligation file must be accompanied by a hard copy document, which
            contains the Batch Number, PR/Award Numbers, amount of obligation,
            ACC and grantee DUNS number and totals by ACC.
        2) Files will be held until GAPS and FMSS is up and running.
        3) OPE and OESE will ensure sufficient funds are available prior to
            transmitting the files to OCFO.
        4) The available balances of the individual PR/Award Numbers will be
            increased manually when necessary to support a payment request.
        5) Only current year, 1999/2000 obligation files will be processed during the
            contingency period.

    b. Resources Required
        1) Equipment: Existing PCs - connected to LAN if possible.
        2) Staff Hours: All staff will be assigned to contingency operations.
        3) Recommended Staffing: N/A.

    c. Roles and Responsibilities

1) OPE and OESE will provide the obligation files and a hard copy document which reflects the contents of the file.
2) OPE and OESE will ensure funds are available to process the entire file.
3) OCFO will increase obligation balances manually to support payment requests.
4) OCFO will notify OPE and OESE if it becomes necessary to implement the Contingency Plan for EDCAPS.

    d. Implementation Timing
Once GAPS has been down for more than 30 days, the above procedures will be implemented.

5. Recovery Actions
    a. Procedures
1) Obligation files will be processed in GAPS and FMSS in date sequence.
2) OPE and OESE will be notified when the files have been processed and if any records failed.

    b. Resources Required
1) Equipment: Existing PCs connected to LAN.
2) Staff Hours: 40.
3) Recommended Staffing: One computer specialist.

    c. Roles and Responsibilities
1) OCFO is responsible for processing all files received during the contingency period, notifying OESE and OPE when the recovery is complete, and providing a processing status for each file.
2) OESE and OPE are responsible for correcting any errors on the feeder function error log.

    d. Implementation Timing
After notification by the supervisor of the OCFO Financial Systems Operations/Systems Operations and Maintenance Group that GAPS and FMSS has returned to stable operation, the OCFO staff will process the files and notify OESE and OPE.

C.   Grant/Loan Payment

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. GAPS fails – FMSS OK. Failure lasts 60 days or less (applies to all scenarios)	a. Cannot process grants or loans

Possible Failures	Possible Impact(s)
b. FMSS fails, but GAPS is operational	b. No effect. Can process payments for all existing obligations. Money available for customers to draw against
c. On-line interface fails – GAPS/FMSS OK	c. No effect. Can process payments for all existing obligations. Money available for customers to draw against
d. RS only fails	d. No effect
e. CPSS only fails	e. No effect
f. Cannot transmit or receive data electronically	f. Cannot make payments
g. EDNET fails	g. Cannot proceed

2. Assumptions
    a. Additional resources will be made available to answer phone calls from recipients requesting funds.
    b. FRB will be able to accept and process files.
    c. Files can be transmitted electronically to FRB.
    d. There will be a limit to the number of payments that can be made each day.
    e. Recipients will be instructed to print an activity report from the Website or request one from the GAPS Hotline after the recipient has made their last draw prior to 12/31/99.

3. Mitigation Actions
    a. Procedures
        1) Give customers a time period during which funds may be drawn in advance (Department of ED sets levels).
        2) Wave three day rule and Cash Management Improvement Act (CMIA) requirement for states (interest payments).
        3) Increase capacity and/or extend Website hours and Hot Line staff during December, 1999, to handle expected increase in volume resulting from the above actions (especially during last week of December, 1999.)

    b. Resources Required
        1) Equipment: Existing PCs connected to LAN.
        2) Staff Hours: Two additional hours a day for the month of December (44 hrs).
        3) Recommended Staffing: Existing staff.

    c. Roles and Responsibilities
        1) Feeder Systems (OPE) must generate obligation files to cover advance draws for the month of January 2000.

    2) OCFO extends Web and hotline staff hours for the month of December.

  d. Implementation Timing
    1) As of December 1st, the Website and the hotline staff hours will be increased two hours each business day.
    2) By December 29th, OPE will provide obligation files to cover advance draws for the month of January 2000.

4. Contingency Actions
  a. Procedures
    1) Establish several new groups to process manual payments during the shutdown periods.
    2) The groups will follow the following steps:
- 1. Take the Payment Request using the GAP Payment Request Form(Hotline Staff);
- 2. Verify available amount & add bank account data (Payment Processing Group);
- 3. Certify bank data (Payment Certification Group);
- 4. Make manual payments (Payment Transmission Group);
- 5. File payment requests by batch and payment control numbers (Payment Transmission Group).

    3) Train staff on the procedures for taking, verifying and processing payment requests.
    4) Establish a holding file for all manual payments processed and FRB confirmations.
    5) Notify requestors if payment request cannot be processed.

LO Payment File Procedures
    1) The LO Payment File for Direct Loan should be submitted with a file and hard copy report which includes PR/Award Number, DUNS Number and Amount of each payment.
    2) OCFO will then start with step 2 above and complete the processing of the payment.

  b. Resources Required
    1) Equipment: 20 PCs / Additional phone lines.
    2) Staff Hours: 10 hours days for six weeks (6000 hrs).
    3) Recommended Staffing: 20 additional staff to take payment requests.

  c. Roles and Responsibilities
    OFCO will receive and process manual payment requests.

  d. Implementation Timing
    If GAPS is not operating for more than two weeks, the Contingency Plan will be initiated.

5. Recovery Actions
   a. Procedures
      1) All processed payments will be entered into GAPS.
      2) ACH and FEDWIRE payment files will be generated to match the files generated during the shutdown period.
      3) Payment files will be confirmed.
      4) Verify all processed payment requests have been entered in GAPS.
      5) Process any outstanding payment requests.
      6) OCFO will notify recipients when GAPS has been recovered and ask them to verify balances.

   b. Resources Required
      1) Equipment: Existing equipment (PCs).
      2) Staff Hours: Two weeks of 10 hours days (250 hrs.).
      3) Recommended Staffing: Five.

   c. Roles and Responsibilities
      OCFO will enter payment data, confirm payment schedules and verify all requests have been accounted for.

   d. Implementation Timing
      After notification by the supervisor of the OCFO/Financial Systems Operations/Systems Operations and Maintenance Group that GAPS has returned to stable operation. OCFO will input processed payments requests as quickly as possible. It will be necessary to keep GAPS shut down until all manual payments have been entered.

D.   **Feeder Output Files**

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. GAPS fails – FMSS OK. Failure lasts 60 days or less (applies to all scenarios)	a. Cannot process reports
b. FMSS fails, but GAPS is operational	b. No effect
c. On-line interface fails – GAPS/FMSS OK	c. No effect
d. RS only fails	d. No effect
e. CPSS only fails	e. No effect

Possible Failures	Possible Impact(s)
f. Cannot transmit or receive data electronically	f. Cannot transmit reports
g. EDNET fails	g. Cannot produce reports

2. Assumptions
    Output files are not a mission critical operation.

3. Mitigation Actions
    a. Procedures
        1) Cannot take advance actions without feeder input.
        2) Establish early cut-off for output "run", i.e., before 11:00 p.m. on 12/31/99.
        3) Run output file before midnight on 12/31/99.

    b. Resources Required
        No additional equipment is needed. 12/31/99, is a government holiday and staff will need to be available to produce the feeder output file and transmit it prior to 1/1/00. This process will only take one person a few hours.

    c. Roles and Responsibilities
        OCFO is responsible for ensuring the file is run and transmitted on 12/31/99.

    d. Implementation Timing
        By 12/15/99, identify a staff member is assigned to run output reports on 12/31/99.

4. Contingency Actions
    a. Procedures
        None, generation of files will start once GAPS becomes after and data recovery is complete.

    b. Resources Required
        None, generation of files will start once GAPS becomes operational and data recovery is complete.

    c. Roles and Responsibilities
        None, generation of files will start once GAPS becomes operational and data recovery is complete.

    d. Implementation Timing
        Generation of files will start once GAPS becomes operational and data recovery is complete.

5. Recovery Actions
   a. Procedures
      After GAPS is returned to full operation, a summary file of all transactions processed during the shutdown period will be generated for the feeder systems.

   b. Resources Required
      1) Equipment: Current PCs.
      2) Staff Hours: No additional hours required.
      3) Recommended Staffing: Present staffing.

   c. Roles and Responsibilities
      OCFO will be responsible for generating the files.

   d. Implementation Timing
      After GAPS is returned to full operation, a summary file of all transactions in the feeder systems will be run.

E.   **GAPS Refund**

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. GAPS fails – FMSS OK. Failure lasts 60 days or less (applies to all scenarios)	a. Cannot create batch files. Direct Loan refunds cannot process. Cannot accept the data that will allow Dept of ED to apply the refund
b. FMSS fails, but GAPS is operational	b. Can still process direct loans. Can apply information that you have from FMSS. Cannot process new refunds. Cannot return misdirected refunds
c. On-line interface fails – GAPS/FMSS OK	c. No effect
d. RS only fails	d. No effect
e. CPSS only fails	e. No effect
f. Cannot transmit or receive data electronically	f. Cannot receive lockbox file electronically. Cannot receive direct loan files
g. EDNET fails	g. Cannot conduct process

2. Assumptions
   a. If up-to-date on 12/31/99, customer is considered up-to-date.
   b. Three-day rule under Education Department Grants Administrative Regulations (EDGAR) is waived.
   c. Schools will retain extra funds and apply them to new expenditures.

3. Mitigation Actions
   a. Procedures
      1) Cannot conduct the process "early"; advance actions cannot take place. Data comes from loan origination system and FMSS (lockbox).
      2) All work completed daily.
      3) Post all received refunds before COB 12/31/99, to ensure all accounts are accurate and up to date.

   b. Resources Required
      1) Equipment: Current equipment.
      2) Staff Hours: N/A.
      3) Recommended Staffing: N/A.

   c. Roles and Responsibilities
      OCFO/Accounts Receivable is responsible for posting refunds.

   d. Implementation Timing
      OFCO processes refunds as they are received. The office cannot process refunds" ahead of time".

4. Contingency Actions
   a. Procedures
      None, refunds will be processed once GAPS and FMSS are available.

   b. Resources Required
      1) Equipment: N/A.
      2) Staff Hours: N/A.
      3) Recommended Staffing: N/A.

   c. Roles and Responsibilities
      None, OCFO will process refunds once GAPS and FMSS are available.

   d. Implementation Timing
      N/A.

5. Recovery Actions
   a. Procedures
      1) Run the refund update from FMSS and process refunds with valid combination of DUNS and PR/Award Number.
      2) Research refunds with invalid combination of DUNS and PR/Award Number.

       3) Post refund by document number and increase available balances.

   b. Resources Required
       1) Equipment: Current PCs.
       2) Staff Hours: Variable depending on backlog.
       3) Recommended Staffing: Assigned depending on backlog volume.

   c. Roles and Responsibilities
     OCFO is responsible for posting refunds.

   d. Implementation Timing
       1) After notification by the supervisor of the OCFO Financial Systems Operations/Systems Operations and Maintenance Group that GAPS and FMSS has returned to stable operation.
       2) OCFO will process refunds within a two week period.

F.   Purchase Request

  1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. FACNET Fails	a. No effect
b. FMSS Fails – CPSS OK	b. Wouldn't know how much fund is remaining, wouldn't be able to record commitment
c. CPSS Fails – FMSS OK	c. Couldn't create purchase request documents or route them in the system, could log commitment but couldn't support it electronically
d. EIM Fails – CPSS/FMSS OK	d. Couldn't link the two systems; no interface, there would be a high risk of not having matching data
e. Internet Fails – All Other Systems OK	e. Couldn't do market research on-line, couldn't get guidance on-line
f. Intranet Fails – All Other Systems OK	f. Couldn't get guidance on-line
g. FEDWIRE Fails	g. No effect
h. EDNET Fails	h. Couldn't do anything

Possible Failures	Possible Impact(s)
i. U.S. Mail Fails	i. No effect
j. ICRS Fails	j. No effect
k. Desktop Applications Fail	k. Couldn't prepare SOW, couldn't prepare supporting documents, couldn't prepare clearance documents
l. CCR Fails	l. No effect
m. COGNOS Fails	m. No effect
n. GOALS Fails	n. No effect
o. Infrastructure Failures: Phone/Fax, E-mail, and Electrical	o. Phone/fax: No real effect but would make it inconvenient; E-mail: No real effect but would make it inconvenient; Electrical: If building ROB3--nobody gets in and would mean a system-wide failure, if only FOB6--the only people affected would be those working here, if only FOB10--users wouldn't have access to their systems, if MEB--users wouldn't have access to their systems

2. Assumptions
   a. FMSS Fails - CPSS OK: Duration is subject to availability of funds for three weeks (prior to September), six months for Contracts, and two months for task orders.
   b. CPSS Fails - FMSS OK: E-mail available, Finance and EO maintain cuff records; duration is same as (b).
   c. EIM Fails - CPSS/FMSS OK: Same as (b) and (c).
   d. Internet Fails - All Other Systems OK: Outside world is functioning; resources include phone and laptops.
   e. Intranet Fails - All Other Systems OK: Hard copies are available; resources include phones, desktop applications, and printers.
   f. Desktop Applications Fail: Other COTS and hard copy available; duration is indefinite; resources include typewriters and scanners.

3. Mitigation Actions
   a. Procedures
      1) FMSS Fails - CPSS OK: Proceed to subject availability funds.
      2) CPSS Fails - FMSS OK: Assign a control point for document control numbers.

3) Internet Fails - All Other Systems OK: Require each Exec Office and CPO group to have laptops (either purchase or lease) with modems and browser—ensure ISP accounts have been established (if ED Internet is down), in December, print out key Internet page.
4) Intranet Fails - All Other Systems OK: library references already available.
5) EDNET Fails: Proceed to subject availability funds.
6) Desktop Applications Fail: Purchase necessary applications (standalone applications).
7) Infrastructure Failures: Phone/fax: Establish list* of individuals responsible for having access to phones and fax (CIOs in charge of communication), ensure there are emergency phone numbers; E-mail: Have list* of home addresses and E-mail extensions, set up personal E-mail accounts with commercial accounts; Electrical: All employees should familiarize themselves with Dept. of ED's Contingency Plan.

*Composition of list will vary depending on the process.

b. Resources Required
1) Equipment: Laptops with modem and browser, standalone applications, ISP accounts.
2) Staff Hours: Approximately five additional hours per week.
3) Recommended Staffing: No additional staffing…those who already perform the tasks will also perform these mitigation procedures.

c. Roles and Responsibilities
1) Director of Contracts & Purchasing Operations (CPO) for impacts (b), (c), and (h).
2) Executive Office and CPO groups for impacts (e), (k), and (o).
3) Acquisition Policy Head for impact (f).

d. Implementation Timing
1) In December, key Internet pages will need to be printed in case Internet fails.
2) Laptops should be purchased by August to consider turnaround time, distribution time, and setup time.
3) Lists should be completed and distributed by August.

4. Contingency Actions
a. Procedures
1) FMSS Fails - CPSS OK: Proceed to subject availability funds.
2) CPSS Fails - FMSS OK: Use E-mail and record later.
3) EIM Fails - CPSS/FMSS OK: Check funds in FMSS directly, record commitment later.
4) Internet Fails - All Other Systems OK: Check with OSDBU for market research if external, use laptops if internal.
5) Intranet Fails - All Other Systems OK: Use available library resources.
6) Desktop Applications Fail: Install and use standalone applications.

7) Infrastructure Failures: Phone/fax: Use payphones and home phones; E-mail: Use verbal communication, enter request in CPSS and route request electronically; Electrical: Reference Dept. of ED's Contingency Plan.

b. Resources Required
1) Equipment: E-mail, library resources, standalone applications.
2) Staffing: Approximately five additional hours per week.
3) Recommended Staffing: No additional staffing…those who already perform the tasks will also perform these mitigation procedures.

c. Roles and Responsibilities
1) Same individuals who performed the tasks in the Mitigation Plan will also perform the tasks in the Contingency Plan.
2) Responsibilities will be addition to regular daily responsibilities.

e. Implementation Timing
Install and use standalone applications starting 1/3/00.

5. Recovery Actions
a. Procedures
1) FMSS Fails - CPSS OK: Commit SAF funds just prior to Award.
2) CPSS Fails - FMSS OK: Enter PR data from logs to CPSS.
3) EIM Fails - CPSS/FMSS OK: Send all commitments entered in CPSS and on hold over interface.
4) Internet Fails - All Other Systems OK: Resume Internet use.
5) Intranet Fails - All Other Systems OK: Resume using Intranet guidance.
6) EDNET Fails: Same as (b), (c), and (e).
7) Desktop Applications Fail: Resume using EDNET version (of applications).
8) Infrastructure Failures: Refer to Departmental Disaster Recovery Plan.

b. Resources Required
1) Equipment: N/A.
2) Staff Hours: N/A.
3) Recommended Staffing: Five FTEs per one month backlog.

c. Roles and Responsibilities
1) CS routes funds to EO for commitment.
2) CS enters PR data from logs to CPSS.
3) CS routes all commitments entered in CPSS and on hold to EO for commitment.

d. Implementation Timing
1) Prior to Award.
2) Internet and Intranet use should resume within one day of availability.

G.   Solicit Bids

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. FACNET Fails	a. Couldn't do FACNET solicitations
b. FMSS Fails – CPSS OK	b. No effect
c. CPSS Fails – FMSS OK	c. Couldn't generate solicitations or amendments electronically
d. EIM Fails – CPSS/FMSS OK	d. No effect
e. Internet Fails – All Other Systems OK	e. Couldn't post to the Web, couldn't send CBD notice via network, couldn't get guidance on-line
f. Intranet Fails – All Other Systems OK	f. Couldn't get guidance on-line
g. FEDWIRE Fails	g. No effect
h. EDNET Fails	h. Couldn't do anything
i. U.S. Mail Fails	i. Couldn't mail or receive solicitations
j. ICRS Fails	j. No effect
k. Desktop Applications Fail	k. Couldn't prepare supporting documents
l. CCR Fails	l. No effect
m. COGNOS Fails	m. No effect
n. GOALS Fails	n. No effect

Possible Failures	Possible Impact(s)
o. Infrastructure Failures: Phone/Fax, E-mail, and Electrical	o. Phone/fax: Couldn't receive or answer questions via phone or fax, couldn't solicit quotes; E-mail: couldn't receive or answer questions, couldn't solicit quotes; Electrical: If building ROB3--nobody gets in and would mean a system-wide failure, if only FOB6--the only people affected would be those working here, if only FOB10--users wouldn't have access to their systems, if MEB--users wouldn't have access to their systems

2. Assumptions
   a. FACNET Fails CPSS is available; resources include E-mail and Internet; duration is indefinite; interdependent system is EDNET.
   b. CPSS Fails – FMSS OK: Web and mail are available, RFP posted on Web; resources include word processor and desktop applications, and Internet.
   c. Internet Fails – All Other Systems OK: Mail is available and CBD is operational; resources include need laptops.
   d. Intranet Fails – All Other Systems OK: Hard copies are available; resources include phones, desktop applications, and printers.
   e. EDNET Fails: Same as (a), (c), and (e).
   f. U.S. Mail Fails: It is OK to wait for purchase and funds will not expire; resource includes E-mail; interdependent system is EDNET.
   g. Desktop Applications Fail: Other COTS and hard copy available; duration is indefinite; resources include typewriters, and scanners.

3. Mitigation Actions
   a. Procedures
      1) FACNET Fails: Already in place.
      2) FMSS Fails - CPSS OK: N/A.
      3) CPSS Fails - FMSS OK: Already posted on the Web, assign a control point for document control number.
      4) Internet Fails - All Other Systems OK: Require each Exec Office and CPO group to have laptops (either purchase or lease) with modems and browser—ensure ISP accounts have been established (if ED Internet is down), in December, print out key Internet pages.
      5) Intranet Fails - All Other Systems OK: Library references already available.
      6) EDNET Fails: Same as FMSS, CPSS, and Internet plans.
      7) U.S. Mail Fails: Director of Procurement tells buyer to avoid solicitation closing date in early January.
      8) Desktop Applications Fail: Purchase necessary applications (standalone applications).

9) Infrastructure Failures: Phone/fax: Establish list* of individuals responsible for having access to phones and fax (CIOs in charge of communication), ensure there are emergency phone numbers; E-mail: Have list* of home addresses and E-mail extensions, set up personal E-mail accounts with commercial accounts; Electrical: All employees should familiarize themselves with Dept. of ED's Contingency Plan.

*Composition of list will vary depending on the process.

b. Resources Required
1) Equipment: Laptops with modem and browser, standalone applications, ISP accounts.
2) Staff Hours: Approximately five additional hours per week.
3) Recommended Staffing: No additional staffing…those who already perform the tasks will also perform these mitigation procedures.

c. Roles and Responsibilities
1) Director of Contracts & Purchasing Operations (CPO) for impacts (a), (c), (h), and (i).
2) Executive Office and CPO groups for impact (e).
3) Acquisition Policy Head for impact (f).
4) Executive Office for impacts (k) and (o).

d. Implementation Timing
1) In December, key Internet pages will need to be printed in case Internet fails.
2) Laptops should be purchased by August to consider turnaround time, distribution time, and setup time.
3) Solicitation closing dates need to be avoided in early January.
4) Lists should be completed and distributed by August.

4. Contingency Actions
a. Procedures
1) FACNET Fails: Have top management announce for users to use other methods, use other procurement methods.
2) CPSS Fails - FMSS OK: Use Web RFPs as templates and edit using word processing, retain paper bidders list and enter later.
3) Internet Fails - All Other Systems OK: Use laptops if internal, use paper copy of CBD, vendors will rely on paper copies and mail, rely on library for up-to-date reference, use paper and Internet guidance.
4) Intranet Fails - All Other Systems OK: Use available library resources.
5) EDNET Fails: Same as FMSS, CPSS, and Internet plans.
6) U.S. Mail Fails: Extend acceptance time.
7) Desktop Applications Fail: Install and use standalone applications.
8) Infrastructure Failures: Phone/fax: Use payphones and home phones; E-mail: Use verbal communication, enter request in CPSS and route request electronically; Electrical: Reference Dept. of ED's Contingency Plan.

      b. Resources Required
          1) Equipment: E-mail, library resources, standalone applications.
          2) Staffing: Approximately five additional hours per week.
          3) Recommended Staffing: No additional staffing…those who already perform the tasks will also perform these mitigation procedures.

      c. Roles and Responsibilities
          Same individuals who performed the tasks in the Mitigation Plan will also perform the tasks in the Contingency Plan.

      d. Implementation Timing
          Install and use standalone applications starting 1/3/00.

5. Recovery Actions
      a. Procedures
          1) FACNET Fails: Resume FACNET use.
          2) CPSS Fails – FMSS OK: 1--Enter BMLs to CPSS from manual logs and 2--Enter Solicitations to CPSS from manual logs.
          3) Internet Fails – All Other Systems OK: Resume Internet use.
          4) Intranet Fails – All Other Systems OK: Resume using Intranet guidance.
          5) EDNET Fails: Same as (c) and (e).
          6) U.S. Mail Fails: 1--Resume use of U.S. mail and 2--CS amend Solicitations if alternate agent is specified.
          7) Desktop Applications Fail: Resume using EDNET.

      b. Resources Required
          1) Equipment: E-mail.
          2) Staff Hours: As little as 15 minutes up to one day.
          3) Recommended Staffing: One person for two weeks of logs.

      c. Roles and Responsibilities
          1) Dir., CPO send announcement to resume using FACNET.
          2) CS enters BMLs to CPSS from manual logs and EO enters Solicitations to CPSS from manual logs.
          3) Dir., CPO issues guidance to CPO to resume using Internet and Intranet
          4) CS amends Solicitations.

      d. Implementation Timing
          1) FACNET use should resume within one day of availability.
          2) BMLs and Solicitations should be entered in CPSS prior to award.
          3) Internet and Intranet use should resume within one day of availability.
          4) Mail use and solicitation amendment should resume prior to solicitation closing.

H.   Contract Award

1.   Failures and Impacts

Possible Failures	Possible Impact(s)
a. FACNET Fails	a. Couldn't do FACNET Awards
b. FMSS Fails – CPSS OK	b. Couldn't post obligations
c. CPSS Fails – FMSS OK	c. Couldn't prepare Award on-line, couldn't record FPS data, couldn't check past performance data
d. EIM Fails – CPSS/FMSS OK	d. Couldn't link the two systems; no interface, there would be a high risk of not having matching data
e. Internet Fails – All Other Systems OK	e. Couldn't get guidance on-line, couldn't send CBD notice via Internet
f. Intranet Fails – All Other Systems OK	f. Couldn't get guidance on-line
g. FEDWIRE Fails	g. No effect
h. EDNET Fails	h. Couldn't do anything
i. U.S. Mail Fails	i. Couldn't mail out Awards and unsuccessful offeror letters, couldn't receive responses via mail
j. ICRS Fails	j. No effect
k. Desktop Applications Fail	k. Couldn't prepare supporting documents
l. CCR Fails	l. No effect
m. COGNOS Fails	m. No effect
n. GOALS Fails	n. No effect

Possible Failures	Possible Impact(s)
o. Infrastructure Failures: Phone/Fax, E-mail, and Electrical	o. Phone/fax: Couldn't conduct negotiations or debrief via phone or fax; E-mail: Couldn't coordinate with Acquisition Team (much internal coordination); Electrical: If building ROB3--nobody gets in and would mean a system-wide failure, if only FOB6--the only people affected would be those working here, if only FOB10--users wouldn't have access to their systems, if MEB--users wouldn't have access to their systems

2. Assumptions
   a. FACNET Fails: CPSS is available; resources include E-mail and Internet; duration is indefinite; interdependent system is EDNET.
   b. FMSS Fails – CPSS OK: There is an FMSS Contingency Plan, cuff records in Finance; resources include E-mail and Internet; duration is four weeks; interdependent system is EDNET.
   c. CPSS Fails – FMSS OK: FPDS due dates will be extended; resource includes FPDS forms; duration is four weeks; interdependent systems include GSA, FPDS, and Internet.
   d. EIM Fails – CPSS/FMSS OK: A procedure for reconciliation between CPSS and FMSS exists.
   e. Internet Fails – All Other Systems OK: Mail is available and CBD is operational; resources include need laptops.
   f. Intranet Fails – All Other Systems OK: Hard copies are available; resources include phones, desktop applications, and printers.
   g. EDNET Fails: Same as (a), (c), and (e).
   h. U.S. Mail Fails: Resources include money for commercial license.
   i. Desktop Applications Fail: Other COTS and hard copy available; duration is indefinite; resources include typewriters, and scanners.
   j. CCR Fails: PRONET and Internet are operational.
   k. GOALS Fails: There is an FMSS Contingency Plan.

3. Mitigation Actions
   a. Procedures
      1) FACNET Fails: Top management issues guidance.
      2) FMSS Fails – CPSS OK: Run fund balance report at end of December, write outstanding obligation report and user procedure.
      3) CPSS Fails – FMSS OK: Download standard forms from Internet for POs and contracts, CPO would prepare a package of how to prepare a PO (standard forms, matrices, and way of documenting SF281 data), assign a control point for document control numbers, Finance needs to establish

        Mitigation Plan, write and run a report with key vendor fields before 12/1/00, retain output files as needed, maintain a list of new vendors.

4) EIM Fails – CPSS/FMSS OK: Finance needs to establish Mitigation Plan, write electronic routine to indicate an affirmative financial obligation transaction in CPSS.

5) Internet Fails – All Other Systems OK: Require each Executive Office and CPO group to have laptops (either purchase or lease) with modems and browser—ensure ISP accounts have been established (if ED Internet is down); in December, print out key Internet pages.

6) Intranet Fails – All Other Systems OK: Library references already available.

7) EDNET Fails: Same as FMSS, CPSS, and Internet plans.

8) U.S. Mail Fails: Maintain commercial service accounts, i.e., Federal Express, UPS.

9) Desktop Applications Fail: Purchase necessary applications (standalone applications).

10) CCR Fails: Prepare vendor data.

11) GOALS Fails: Reference FMSS Plan.

12) Infrastructure Failures: Phone/fax: Establish list* of individuals responsible for having access to phones and fax (CIOs in charge of communication), ensure there are emergency phone numbers; E-mail: Have list* of home addresses and E-mail extensions, set up personal E-mail accounts with commercial accounts; Electrical: All employees should familiarize themselves with Dept. of ED's Contingency Plan.

*Composition of list will vary depending on the process.

b. Resources Required
1) Equipment: Laptops with modem and browser, standalone applications, ISP accounts, commercial delivery service account.
2) Staff Hours: Approximately 10 - 15 additional hours per week.
3) Recommended Staffing: No additional staffing…those who already perform the tasks will also perform these mitigation procedures.

c. Roles and Responsibilities
1) Dir., CPO (Director of Contracts & Purchasing Operations) for impacts (a), (b), (c), (h), (l), and (n).
2) Finance for impact (d).
3) Executive Office and CPO groups for impact (e).
4) Acquisition Policy Head for impact (f).
5) Shipping Dept. for impact (i).
6) Executive Office for impacts (k) and (o).

d. Implementation Timing
1) Fund balance report must be printed at the end of December.
2) Write and run a report with key vendor fields before 12/1/00.

3) Laptops should be purchased by August to consider turnaround time, distribution time, and setup time.
4) In December, key Internet pages will need to be printed in case Internet fails.
5) Lists should be completed and distributed by August.

4. Contingency Actions
   a. Procedures
      1) FACNET Fails: Use guidance issued by top management.
      2) FMSS Fails – CPSS OK: Reference FMSS Contingency Plan, keep cuff records of fund balances and enter in FMSS later, CO should get written assurance that funds are available from Executive Office (EO relies on cuff records), after FMSS is back up, run reports of outstanding obligations in CPSS and run transactions through EIM.
      3) CPSS Fails – FMSS OK: Edit RFP for Award document, use snapshots of recent contracts to prepare the Award document using Word, buyers keep cuff records of Awards and enter in CPSS later, send hard copy request for Finance to record obligation.
      4) EIM Fails – CPSS/FMSS OK: Send hard copy award for Finance to record as a SACONS (Standard Automated Contracting System) document.
      5) Internet Fails – All Other Systems OK: Use laptops if internal, use paper copy of CBD, vendors will rely on paper copies and mail, rely on library for up-to-date reference, use paper and Internet guidance.
      6) Intranet Fails – All Other Systems OK: Use available library resources.
      7) EDNET Fails: Same as FMSS, CPSS, and Internet plans.
      8) U.S. Mail Fails: Use commercial services.
      9) Desktop Applications Fail: Install and use standalone applications.
      10) CCR Fails: Obtain vendor data from PRONET or the vendor.
      11) GOALS Fails: Reference FMSS Plan.
      12) Infrastructure Failures: Phone/fax: Use payphones and home phones; E-mail: Use verbal communication, enter request in CPSS and route request electronically; Electrical: Reference Dept. of ED's Contingency Plan.

   b. Resources Required
      1) Equipment: Laptops with modem and browser, standalone applications, ISP accounts, commercial delivery service accounts.
      2) Staffing: Approximately 10 - 15 additional hours per week.
      3) Recommended Staffing: No additional staffing…those who already perform the tasks will also perform these mitigation procedures.

   c. Roles and Responsibilities
      Same individuals who performed the tasks in the Mitigation Plan will also perform the tasks in the Contingency Plan.

   d. Implementation Timing
      Install and use standalone applications starting 1/3/00.

5. Recovery Actions
   a. Procedures
      1) FACNET Fails: Resume FACNET use.
      2) FMSS Fails – CPSS OK: 1--Resume report on outstanding obligations in CPSS and those not sent across EIM, 2--Send transaction entered in CPSS and not in FMSS across EIM.
      3) CPSS Fails – FMSS OK: 1--Enter all Awards in CPSS from manual log and 2--Send across interface.
      4) EIM Fails – CPSS/FMSS OK: Send all commitments entered in CPSS and on hold over interface.
      5) Internet Fails – All Other Systems OK: Resume Internet use.
      6) Intranet Fails – All Other Systems OK: Resume using Intranet guidance.
      7) EDNET Fails: Same as (b), (c), and (e).
      8) U.S. Mail Fails: Resume use of U.S. mail.
      9) Desktop Applications Fail: Resume using EDNET.
      10) CCR Fails: Resume Internet use.
      11) GOALS Fails: Reference FMSS Plan.

   b. Resources Required
      1) Equipment: E-mail.
      2) Staff Hours: As little as 15 minutes up to one day.
      3) Recommended Staffing: One person per two weeks to resume report on outstanding obligations and those not sent across EIM in CPSS, five FTEs per month to enter all Awards in CPSS from manual logs.

   c. Roles and Responsibilities
      1) Dir., CPO sends announcement to resume using FACNET.
      2) CO and EO receive report on outstanding obligations.
      3) CS, CO, and EO enter all Awards in CPSS from manual logs.

   d. Implementation Timing
      1) FACNET use should resume within one day of availability.
      2) Outstanding obligations and those not sent across EIM should be reported in CPSS prior to first payment.
      3) Awards should be entered from manual logs prior to first payment.

I. **Contract Administration**

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. FACNET Fails	a. Couldn't do FACNET modifications
b. FMSS Fails – CPSS OK	b. Couldn't check unexpended balances, couldn't make payment through system, couldn't post receipts to financial systems

Possible Failures	Possible Impact(s)
c. CPSS Fails – FMSS OK	c. Couldn't post receipts, couldn't approve payment, couldn't verify expended balances, couldn't generate reports, couldn't access CPSS data
d. EIM Fails – CPSS/FMSS OK	d. Couldn't link the two systems; no interface, there would be a high risk of not having matching data, couldn't enter or post receipts, couldn't approve payments
e. Internet Fails – All Other Systems OK	e. Couldn't get guidance on-line, couldn't correspond via e-mail with contractors
f. Intranet Fails – All Other Systems OK	f. Couldn't get guidance on-line
g. FEDWIRE Fails	g. Couldn't FEDWIRE special payments
h. EDNET Fails	h. Couldn't do anything but FEDWIRE is still available
i. U.S. Mail Fails	i. Couldn't receive requests for payments via mail, couldn't receive deliverables via mail, couldn't correspond via mail
j. ICRS Fails	j. No effect
k. Desktop Applications Fail	k. Couldn't prepare supporting documents, couldn't correspond
l. CCR Fails	l. No effect
m. COGNOS Fails	m. Couldn't use COGNOS to generate report
n. GOALS Fails	n. No effect

Possible Failures	Possible Impact(s)
o. Infrastructure Failures: Phone/Fax, E-mail, and Electrical	o. Phone/fax: Couldn't communicate with Acquisition Team, contractors, and general public; E-mail: Couldn't coordinate with Acquisition Team (much internal coordination); Electrical: If building ROB3--nobody gets in and would mean a system-wide failure, if only FOB6--the only people affected would be those working here, if only FOB10--users wouldn't have access to their systems, if MEB--users wouldn't have access to their systems

2. Assumptions
    a. FACNET Fails: CPSS is operational; resources include printers and typewriters; interdependent system is EDNET.
    b. FMSS Fails – CPSS OK: There is an FMSS Contingency Plan; resource includes copier; interdependent system Intranet.
    c. CPSS Fails – FMSS OK: Document history available; resource includes copier; duration is two weeks.
    d. EIM Fails – CPSS/FMSS OK: A procedure for reconciliation between CPSS and FMSS exists.
    e. Internet Fails – All Other Systems OK: Paper copies and telephone are available; resource includes need laptops.
    f. Intranet Fails – All Other Systems OK: Hard copies are available; resources include phones, desktop applications, and printers.
    g. FEDWIRE Fails: There is an FMSS Contingency Plan.
    h. EDNET Fails: Same as (a), (c), and (e).
    i. U.S. Mail Fails: Resources include money for commercial license.
    j. Desktop Applications Fail: Other COTS and hard copy available; duration is indefinite; resources include typewriters and scanners.
    k. COGNOS Fails: SQL reports and progress reports are available; duration is indefinite.

3. Mitigation Actions
    a. Procedures
        1) FACNET Fails: None.
        2) FMSS Fails – CPSS OK: Reference FMSS Plan, FMSS Plan should address what they need from us and what we need from them for payment approval.
        3) CPSS Fails – FMSS OK: Pay invoices you can before end of December (cut-off date will need to be identified), FMSS plan should address how to enter receipts if CPSS is down, complete report and correct FPDS data on previous fiscal year before 12/31/99--create and run a Small Business

report to see problems and correct them, clean up vendor file data, top management will extend deadline for reporting deadline for reporting strategic plan data.

4) EIM Fails – CPSS/FMSS OK: Reference FMSS Plan.

5) Internet Fails – All Other Systems OK: Require each Exec Office and CPO group to have laptops (either purchase or lease) with modems and browser—ensure ISP accounts have been established (if ED Internet is down); in December, print out key Internet pages.

6) Intranet Fails – All Other Systems OK: Library references already available.

7) FEDWIRE Fails: Reference FMSS Plan.

8) EDNET Fails: Same as FMSS, CPSS, and Internet plans.

9) U.S. Mail Fails: Maintain commercial service accounts, i.e., Federal Express, UPS.

10) Desktop Applications Fail: Purchase necessary applications (standalone applications).

11) COGNOS Fails: Train some CPO staff to use PROGRESS and other reporting tools (CPSS reporting language).

12) Infrastructure Failures: Phone/fax: Establish list* of individuals responsible for having access to phones and fax (CIOs in charge of communication), ensure there are emergency phone numbers; E-mail: Have list* of home addresses and E-mail extensions, set up personal E-mail accounts with commercial accounts; Electrical: All employees should familiarize themselves with Dept. of ED's Contingency Plan.

*Composition of list will vary depending on the process.

b. Resources Required
1) Equipment: Laptops with modem and browser, standalone applications, ISP accounts, commercial delivery service account.
2) Staff Hours: Approximately 10 - 15 additional hours per week.
3) Recommended Staffing: No additional staffing…those who already perform the tasks will also perform these mitigation procedures.

c. Roles and Responsibilities
1) Dir., CPO (Director of Contracts & Purchasing Operations) for impacts (b), (c), (h). and (m).
2) Finance for impacts (d) and (g).
3) Executive Office and CPO groups for impact (e).
4) Acquisition Policy Head for impact (f).
5) Finance for impact (g).
6) Shipping Dept. for impact (i).
7) Executive Office for impacts (k) and (o).

    d. Implementation Timing
       1) Pay invoices before the end of December.
       2) Complete report and correct FPDS data on previous fiscal year before 12/31/99.
       3) Laptops should be purchased by August to consider turnaround time, distribution time, and setup time.
       4) In December, key Internet pages will need to be printed in case Internet fails.
       5) Lists should be completed and distributed by August.

4. Contingency Actions
    a. Procedures
       1) FACNET Fails: Use hard copy.
       2) FMSS Fails – CPSS OK: Reference FMSS Plan.
       3) CPSS Fails – FMSS OK: Wait it out up to two weeks if possible (for payment), send approved hard copy payment requests to Finance, send receipts to Finance, hold receiving reports and enter later, for goods, send receiving report to Finance for entry, access document history through FMSS, rely on hard copy contract file, use word processor past performance records.
       4) EIM Fails – CPSS/FMSS OK: Reference FMSS Plan.
       5) Internet Fails – All Other Systems: Use laptops if internal, use paper copy, use paper and Internet guidance.
       6) Intranet Fails – All Other Systems OK: Use available library resources.
       7) FEDWIRE Fails: Reference FMSS Plan.
       8) EDNET Fails: Same as FMSS, CPSS, and Internet plans.
       9) U.S. Mail Fails: Use commercial services.
       10) Desktop Applications Fail: Install and use standalone applications.
       11) COGNOS Fails: Use CPSS reporting function.
       12) Infrastructure Failures: Phone/fax: Use payphones and home phones; E-mail: Use verbal communication, enter request in CPSS and route request electronically; Electrical: Reference Dept. of ED's Contingency Plan.

    b. Resources Required
       1) Equipment: Laptops with modem and browser, standalone applications, ISP accounts, commercial delivery service accounts.
       2) Staffing: Approximately 10 - 15 additional hours per week.
       3) Recommended Staffing: No additional staffing…those who already perform the tasks will also perform these mitigation procedures.

    c. Roles and Responsibilities
    Same individuals who performed the tasks in the Mitigation Plan will also perform the tasks in the Contingency Plan.

    d. Implementation Timing
    Install and use standalone applications starting 1/3/00.

5. Recovery Actions
   a. Procedures
      1) FACNET Fails: Resume FACNET use.
      2) FMSS Fails – CPSS OK: 1--Reference FMSS Plan, 2--Receive report on receipts in CPSS not sent to FMSS, 3--Enter all invoice in FMSS and "OK" to pay in CPSS, 4--FMSS staff alerted to use procedures for previous duplicate payments, 5--Receive report on modifications entered in CPSS and not in FMSS, 6--Send obligations across interface.
      3) CPSS Fails – FMSS OK: 1--Enter modifications, receipts, VPP evaluation, invoice appraisals from logs, 2--Run FPDS reports, 3--Sent interface transaction.
      4) EIM Fails – CPSS/FMSS OK: 1--Reference FMSS Plan, 2--Receive report on receipts in CPSS not sent to FMSS, 3--Enter all invoice in FMSS and on to CPSS, 4--FMSS staff alerted to use procedures for previous debt payment, 5--Receive report on modifications entered in CPSS and not in FMSS, 6--send obligations across interface.
      5) Internet Fails – All Other Systems OK: Resume Internet use.
      6) Intranet Fails – All Other Systems OK: Resume using Intranet guidance.
      7) EDNET Fails: Same as (b), (c), and (e).
      8) U.S. Mail Fails: Resume use of U.S. mail.
      9) Desktop Applications Fail: Resume using EDNET.
      10) COGNOS Fails: Resume using COGNOS.

   b. Resources Required
      1) Equipment: N/A.
      2) Staff Hours: N/A.
      3) Recommended Staffing: Five FTEs.

   c. Roles and Responsibilities
      1) CS and EO receive report on receipts and invoices, CO gives OK to pay, EO does modification obligations, Finance implements procedures to prevent duplicate payments.
      2) CS and EO enter data, CO and EO indicate appraisals are OK.

   d. Implementation Timing
      1) FACNET use should resume within one day of availability.
      2) Receive reports, enter all invoices in FMSS, and run report on modifications in one week.
      3) Enter modifications, receipts, evaluations, and invoice appraisals in one week.

J. **Close-Out**

    Contingency planning worksheets were not completed for this process since the Contingency Plan is to wait it out until all systems are back up.

K.   Purchase Card

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. FACNET Fails	a. No effect
b. FMSS Fails – CPSS OK	b. Couldn't record obligation or expenditures
c. CPSS Fails – FMSS OK	c. Couldn't approve or record purchase, couldn't reconcile statement within system
d. EIM Fails – CPSS/FMSS OK	d. Couldn't link the two systems; no interface, there would be a high risk of not having matching data, couldn't post commitment or obligation electronically
e. Internet Fails – All Other Systems OK	e. Couldn't do market research on-line, couldn't get guidance on-line, couldn't buy via GSA advantage
f. Intranet Fails – All Other Systems OK	f. Couldn't get guidance on-line
g. FEDWIRE Fails	g. Couldn't make payment to purchase card vendor
h. EDNET Fails	h. Couldn't do anything
i. U.S. Mail Fails	i. Couldn't mail dispute forms, couldn't mail 224 report to Treasury
j. ICRS Fails	j. Couldn't reconcile purchase card vendor bill/statement, couldn't post payable, couldn't create form 1166 to generate payment
k. Desktop Applications Fail	k. No effect
l. CCR Fails	l. No effect
m. COGNOS Fails	m. No effect (reference FMSS Plan)
n. GOALS Fails	n. No effect

Possible Failures	Possible Impact(s)
o. Infrastructure Failures: Phone/Fax, E-mail, and Electrical	o. Phone/fax: Couldn't get quotes via phone or fax, couldn't order, couldn't do market research; E-mail: Couldn't get internal coordination; Electrical: If building ROB3--nobody gets in and would mean a system-wide failure, if only FOB6--the only people affected would be those working here, if only FOB10--users wouldn't have access to their systems, if MEB--users wouldn't have access to their systems

2. Assumptions
   a. FMSS Fails – CPSS OK: There is an FMSS Contingency Plan and EO keeps cuff records; duration is indefinite; interdependent system is EDNET.
   b. CPSS Fails – FMSS OK: Manual logs will be maintained and will pay and make adjustments later.
   c. EIM Fails – CPSS/FMSS OK: CPSS reconciliation report is working; resource includes need calculator.
   d. Internet Fails – All Other Systems OK: GSA is operational; resources include laptops, modem, and Internet accounts.
   e. Intranet Fails – All Other Systems OK: Hard copies are available; resources include phones, desktop applications, and printers.
   f. FEDWIRE Fails: FMSS Contingency Plan already exists.
   g. EDNET Fails: Same as (a), (c), and (e).
   h. U.S. Mail Fails: Same as (b), (c), and (e).
   i. ICRS Fails: COGNOS and CPSS are operational.
   j. COGNOS Fails: There is an FMSS Contingency Plan.

3. Mitigation Actions
   a. Procedures
      1) FMSS Fails – CPSS OK: Run fund balance reports at end of month (Exec Office), consult FMSS Mitigation Plan.
      2) CPSS Fails – FMSS OK: Keep log of purchases.
      3) EIM Fails – CPSS/FMSS OK: Process normally when CPSS restored, keep running balances of funds availability, process normally when EIM restored.
      4) Internet Fails – All Other Systems OK: Fill out form in CPSS, require each Exec Office and CPO group to have laptops (either purchase or lease) with modems and browser—ensure ISP accounts have been established (if ED Internet is down), in December, print out key Internet pages: if library references already available.
      5) Intranet Fails – All Other Systems OK: Cardholders already have written guidance as reference.
      6) FEDWIRE Fails: Reference FMSS Plan.

7) EDNET Fails: Same as FMSS, CPSS, and Internet plans.
8) U.S. Mail Fails: Maintain commercial service accounts, i.e., Federal Express, UPS.
9) ICRS Fails: Unnecessary.
10) COGNOS Fails: Reference FMSS Plan for 224 report.
11) Infrastructure Failures: Phone/fax: Establish list* of individuals responsible for having access to phones and fax (CIOs in charge of communication), ensure there are emergency phone numbers; E-mail: Have list* of home addresses and E-mail extensions, set up personal E-mail accounts with commercial accounts; Electrical: All employees should familiarize themselves with Dept. of ED's Contingency Plan.

*Composition of list will vary depending on the process.

b. Resources Required
1) Equipment: Laptops with modem and browser, ISP accounts, commercial delivery service account.
2) Staff Hours: Approximately 10 - 15 additional hours per week.
3) Recommended Staffing: No additional staffing…those who already perform the tasks will also perform these mitigation procedures.

c. Roles and Responsibilities:
1) Executive Office for impacts (b), (h), and (o).
2) Cardholders for impacts (c) and (f).
3) Finance for impact (d), (g), and (m).
4) Executive Office and CPO groups for impact (e).
5) Shipping Dept. for impact (i).

d. Implementation Timing
1) Run fund balance report at the end of December, 1999.
2) Laptops should be purchased by August to consider turnaround time, distribution time, and setup time.
3) In December, key Internet pages will need to be printed in case Internet fails.
4) Lists should be completed and distributed by August.

4. Contingency Actions
a. Procedures
1) FMSS Fails – CPSS OK: Keep receipts and cuff records, keep running balance, consult FMSS Plan, enter through CPSS.
2) CPSS Fails – FMSS OK: Use saved receipts and enter in CPSS later.
3) EIM Fails – CPSS/FMSS OK: Have summary obligation from CPSS posted to FMSS, post vendor purchase later.
4) Internet Fails – All Other Systems OK: Use laptops if internal, use GSA Advantage Contingency Plan (if GSA Internet is down).
5) Intranet Fails – All Other Systems OK: Use written guidance.
6) FEDWIRE Fails: Reference FMSS Plan.

7) EDNET Fails: Same as FMSS, CPSS, and Internet plans.
8) Internet Fails – All Other Systems OK: Use commercial services.
9) ICRS Fails: Create a COGNOS report and match the electronic bill (report from CPSS), look at CPSS and FMSS data and kick out those that don't match.
10) COGNOS Fails: Reference FMSS Plan for 224 Report.
11) Infrastructure Failures: Phone/fax: Use payphones and home phones; E-mail: Use verbal communication, enter request in CPSS and route request electronically; Electrical: Reference Dept. of ED's Contingency Plan.

b. Resources Required
1) Equipment: Laptops with modem and browser, commercial delivery service accounts.
2) Staffing: Approximately 10 - 15 additional hours per week.
3) Recommended Staffing: No additional staffing…those who already perform the tasks will also perform these mitigation procedures.

c. Roles and Responsibilities
Same individuals who performed the tasks in the Mitigation Plan will also perform the tasks in the Contingency Plan.

d. Implementation Timing
N/A.

5. Recovery Actions
a. Procedures
1) FMSS Fails – CPSS OK: 1--Run reports on CPSS transactions not sent across interface, 2--Send CPSS transactions across interface, 3--Enter payable to FMSS, 4--Rely on FMSS Contingency Plan.
2) CPSS Fails – FMSS OK: 1--Enter purchases to CPSS from manual logs and receipts, 2--Send across interface.
3) EIM Fails – CPSS/FMSS OK: Send all commitments entered in CPSS and on hold over interface.
4) Internet Fails – All Other Systems OK: Resume using GSA advantage.
5) Intranet Fails – All Other Systems OK: Resume using Intranet.
6) FEDWIRE Fails: Resume using FEDWIRE.
7) EDNET Fails: Same as (b), (c), and (e).
8) U.S. Mail Fails: Resume use of U.S. mail.
9) Desktop Applications Fail: Resume using ICARS.
10) COGNOS Fails: Same as FMSS Plan.

b. Resources Required
1) Equipment: N/A.
2) Staff Hours: N/A.
3) Recommended Staffing: 1.5 FTEs per month.

    c. Roles and Responsibilities
        1) EO sends CPSS data across interface.
        2) Finance enters payables to FMSS.
        3) EO enters purchases to CPSS from manual logs and receipts and sends across interface.

    d. Implementation Timing
        1) Run report in CPSS, send CPSS data across interface, and enter payables to FMSS in one month.
        2) Enter purchases to CPSS from manual logs and receipts and send across interface in one month.

L.   Budget Execution

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. EDCAPS Complete System Failure	a. Allotment requests can not be entered into FMSS
b. FMSS fails, but GAPS is operational	b. Allotment requests can not be entered into FMSS
c. EDNET Fails	c. Allotment requests can not be entered into FMSS

2. Assumptions
    a. The system would have to be down for at least 30 days before this plan would be implemented.
    b. Manual processes are in place for making obligations and payments.
    c. Standalone Year 2000 compliant PCs are available.
    d. Appropriations are enacted by mid-October.
    e. All apportionments approved by OMB by mid-November 1999.
    f. OMB approves the apportionment of 1st and 2nd quarter funding needs within the 1st quarter increment for all quarterly apportioned programs and activities.
    g. All approved apportionments are entered in FMSS.
    h. Program Administration allocations are approved and distributed to Principal Offices by October 31.
    i. Operating plans are entered by 11/30/99 for funding needs through the 2nd quarter.
    j. The Mitigation Plan was implemented.
    k. The Contingency Plan supports only emergency allotments necessary after the system has been down for 30 days.
    l. The system has been down for 30 days.
    m. The Mitigation Plan was implemented.

n. The Contingency Plan was implemented for emergency allotments necessary after the system had been down for 30 days.

o. OCFO has entered all apportionments into EDCAPS.

p. OCFO has prepared and provided guidance and instruction for a phased resumption plan to identify timing of recording apportionments, posting allotments, and recording obligations.

3. Mitigation Actions

   a. Procedures

      1) Principal offices will be instructed to enter operating plans through the 2nd quarter in EDCAPS by 11/30/99.

      2) Allotments through the second quarter will be processed using normal, standard procedures.

      3) Financial reports will be printed from FMSS.

   b. Resources Required

      1) Equipment: PCs with access to EDCAPS and spreadsheet (Excel) and word processing (Word) software.

      2) Staff Hours: 49.

      3) Recommended Staffing:

- Review Plans and Process Allotments for second quarter.
  - 37 Budget Analysts (37 hours).
  - One Budget Assistant (eight hours).
  - Six Supervisors (six hours).
- Run Reports (eight hours—by two Analysts included above).

   c. Roles and Responsibilities

      1) Acting Deputy Secretary will instruct offices to enter operating plans through the second quarter.

      2) Allotments will be prepared and processed by Budget Service.

      3) Budget Service staff will print out financial reports from EDCAPS.

   d. Implementation Timing

      1) Principal offices will be notified in the Budget Formulation process of the need to accelerate the preparation of FY 2000 operating plans.

      2) By mid-November, principal offices will have received instruction to enter operating plans.

      3) Apportionments will be at OMB by 11/1/99.

      4) S&E allocation letters will be provided to principal offices by 10/31/99.

      5) Cumulative allotments through second quarter will be prepared and ready for posting by noon 12/31/99.

      6) Allotments will be posted by COB 12/31/99.

      7) EDCAPS financial reports will be run and printed by COB 12/31/99.

4. Contingency Actions
   a. Procedures
      1) The requesting principal office will complete the Allotment Request Memorandum (see Appendix C) and send it to the appropriate Director along with a copy to the appropriate budget analyst.
      2) The budget analyst will complete the appropriate back up allotment worksheets using MS Excel (see Appendix C) and ensure that funds are available.
      3) The budget analyst will fill out the Internal Allotment Request Form (see Appendix C) and submit it to the budget assistant for completion. The budget analyst will also attach a copy of the last approved allotment document for which to base previously and cumulative allotted amounts by fiscal year, fund, organization, and project.
      4) The budget assistant will log in the request in the Current Allotment Log (see Appendix C) and prepare the allotment on a PC using a Mock Allotment Form (see Appendix C) that has been created in MS Word. The letter "S" will be added to the end of the serial number (i.e., 0-0123S) to signify all allotments prepared outside the regular system. The budget assistant will initial the completed allotment and return it to the appropriate budget analyst.

   b. Resources Required
      1) Equipment: Year 2000 compliant stand-alone PC or manual typewriter available.
      2) Staff Hours: 56.
      3) Recommended Staffing:
         • Prepare Instructions.
            – 3 Budget Analysts (16 hrs.).
         • Prepare Allotments/Spreadsheets/Review Instructions (40 hrs.).
            – 10 Budget Analysts.
            – Six Supervisors.
            – One Budget Assistant.

   c. Roles and Responsibilities
      1) Budget Service will prepare internal and external instructions.
      2) Budget Service will prepare, control and process non-system generated allotments.
      3) Budget Analysts will prepare spreadsheets for monitoring apportioned, allotted, and un-allotted funds.

   d. Implementation Timing
      1) Instructions will developed and distributed by 10/1/99.
      2) Allotments will be prepared and processed within two workdays of receiving the request.

       3)   Monitoring spreadsheets will have been prepared during implementation of the Mitigation plan and will be updated before the allotment request is finalized.

5. Recovery Actions
   a. Procedures
      1) Once the system has resumed normal functionality, the budget assistant will re-enter all allotments in the same order as they were requested during that period without disrupting our normal numbering system. The allotments will then go through their normal circulation for signatures and initials signifying review, final approval, and posting.
      2) The budget analyst will review the allotment document for accuracy, attach all back up allotment worksheets, initial and forward the allotment document to the appropriate approving official in Budget Service for signature.
      3) Allotment documents are then submitted to the appropriate ABAD or BECS Director for final review and approval. Allotment documents must bear the initials of the ABAD or BECS Director (or designate) in order to be considered valid allotments.
      4) Signed/approved allotment documents will be returned to the budget assistant. The budget assistant will log the approval date and make appropriate copies for distribution and filing. The budget assistant will send the original allotment document to the requesting office. The allotment serves as official notification of the authority to obligate funds within the limitations established to carry out the responsibilities assigned to them during this period. The requesting office will be held responsible for restricting obligations and expenditures to the amount allotted.
      5) In the event that an allotment is requested that will exceed what is currently apportioned, an Automatic Apportionment Form (see Appendix C) will be completed in accordance with OMB pre-approved levels and submitted to the Finance office.

   b. Resources Required
      1) Equipment: FMSS operational.
      2) Staff Hours: 16.
      3) Recommended Staffing:
         - 10 Budget Analysts.
         - Six Supervisors.
         - One Budget Assistant.

   c. Roles and Responsibilities
      Budget Service will prepare and process allotments for the non-system-generated allotments issued during Contingency Plan operations.

   d. Implementation Timing
      Budget Service will prepare and process allotments within three workdays of receiving notification of EDCAPS system availability.

M.   Accounts Receivable

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. EDCAPS Complete System Failure	a. Unable to electronically process daily collections and maintain accounts receivable without EDCAPS
b. GAPS fails – FMSS OK. Failure lasts 60 days or less (applies to all scenarios)	b. Unable to generate offsets against payments
c. FMSS fails, but GAPS is operational	c. Unable to electronically process daily collections and maintain accounts receivable without FMSS
d. RS only fails	d. Unable to research excess cash transactions with invalid Customer/DUNS numbers
e. Cannot electronically transmit data	e. Unable to receive and process the lockbox files from Mercantile Bank
f. Internal Data Corrupted	f. Unable to perform function without accurate data
g. Incoming Data Corrupted	g. Unable to perform function without accurate data
h. EDNET Fails	h. FMSS would not work. Unable to electronically process daily collections and maintain accounts receivable without FMSS

2. Assumptions
   a. Receivables Cash Receipts (RCR) will send notices to the Principal Offices (PO) and Regions on 12/15/99 to submit all receivables before 12/31/99.
   b. RCR will process accruals and send dunnings on 12/15/99 (or the applicable 30 days).
   c. RCR will run an Open Receivables report from FMSS on 12/31/99.
   d. RCR will request a DUNS report or disk from the Recipient System (RS).
   e. RCR will request an Open Award report or disk from GAPS.
   f. RCR will run an Aging Report as of 12/31/99.

3. Mitigation Actions
   a. Procedures
      1) Notify POs and Regions via email on 12/1/99 and 12/15/99 that all billing data is due on 12/15/99.
      2) Make sure all new receivables are booked as of 12/31/99.
      3) Make sure all final billing is complete by 12/31/99.
      4) Make sure all collections are current as of 12/31/99.

   b. Resources Required
      1) Equipment: EDCAPS operational.
      2) Staff Hours: 40.
      3) Recommended Staffing: Seven Accounts Receivable Staff members.

   c. Roles and Responsibilities
      1) Cynthia Logan is responsible for notification actions.
      2) Entire AR staff is responsible for ensuring final billings are done, new receivables are booked, collections are current and reports are run, and all manual forms are created.

   d. Implementation Timing
      1) Notification will be done on 12/1/99 and 12/15/99.
      2) All other mitigation activities will be performed the last week of 1999 (by 12/31/99).

4. Contingency Actions
   a. Procedures
      1) Clock in the receivable for the date of receipt.
      2) Check the receivable document against the Open Receivables report to see if the debt exist and to verify the DUNS and EIN.
      3) If the debt is new, has an amount due, and the DUNS doesn't exist on the Open Receivables report log the debt into the New Customer Log (see Appendix C) before the Accounts Receivable Log (A/R Log); otherwise just fill out the A/R Log (see Appendix C).
      4) If the DUNS does not appear on the Open Receivables Report, check the Recipient System (RS) listing by using the EIN which cross references the DUNS.
      5) Place any missing information on the document to be used later.
      6) Read the document to make sure the amounts quoted in the written portion agrees with the amounts on the Accounting Sheets. If not, it should be returned to the originating PO or Region for corrections. This should still be logged as "RETURNED".
      7) Enter Access: C:\MYDOCU~1\ACCESS\RECEIVABLES for the New Customer Log.
      8) Fill out the New Customer Log (see Appendix C) with the information from the new receivable document which includes the following fields:
         • DUNS
         • EIN/TIN

- NAME/TITLE
- INSTITUTION
- A/R TYPE - options here (Federal Government, State Government, Local Government, Private
- Organization, Public Organization, Non-Profit, Individual, or Other)
- STATEMENT DAY – this is the clocked date of receipt by RCR
- STREET
- CITY
- STATE
- ZIP
- ZIP2

9) Save the file.
10) Print it out.
11) Close the file.
12) Open the Accounts Receivable Log and enter the data from the document to the following fields:
   - DATE_RECD – the date clocked in by RCR.
   - REGION – is the Region of the State, which is usually found on the Accounting Document.
   - Prior Year Monetary Recovery (AD-PYMR) on the Program Reviews and on the top right hand side under the state graphed picture for Audits.
   - INSTITUTION – is the Name of the Institution.
   - EIN/DUNS.
   - EFFECTIVE DATE – is the date of the document.
   - AMOUNT – is the amount of the debt or bill line associated with the fund code.
   - TYPE – is the type of debt being established. This can be an Audit, Program Review, and Excess.
   - Cash, Salary Overpayment, Restitution, Promissory Note, or IPA
   - APPEAL – check the box if the document is an Appeal.
   - COMMENTS/DESCRIPTION – used to say the status of the debt. It can be zero, new, amended, Appeal, appeal decision, or returned.
   - BILL NUMBER – for an Audit refer to the "Ref: ANC" line.
13) Devise the Bill Number in the following manner: Positions 1 & 2 should always be "AU"; positions 3 & 4 should always be the abbreviated State code. Positions 5 & 6 are the Region number. Position 7 & 8 are the last two digits of the fiscal year (positions 5 & 6 of the ANC. Positions 9 through 13 are the last five digits of the ANC. If the document has a miscellaneous and revolving type fund finding, then you must record two bills because the data must be separated and you will use position 14 and place an "A" or "B" at the end to signify 2 parts.
14) To devise the Bill Number for a Program Review refer to the "Ref: PRCN" line. Positions 1 & 2 will always be "PR". Positions 3 & 4 will always be the abbreviated State code. Positions 5 & 6 will be the fiscal year of the Program Review, which are positions 3 & 4 of the PRCN. Positions 7 through 14 will be the remaining numbers in the PRCN. If this is a

       multiple bill, because of the fund codes, simply add an "A" or "B" at the end to indicate second parts.

15) For any other type of debt use the numbers or names provided on the document.

16) Using the information from the A/R Log transfer that information to the Spreadsheet log (see Appendix C). Use the receivable document to fill in the rest of the Spreadsheet log. Fields that has been explained will not be re-addressed. The fields are listed below:

- BILL NUMBER.
- EFFECTIVE DATE.
- CUSTOMER/DUNS.
- EIN.
- NAME – institution name.
- DESCRIPTION – debt type.
- CLASS – refer to the "A/R Bible" to find this information.
- OFFICE – RCR uses "ACCTREC", GAPEXCSH, OR GAPS OFFSET.
- OBJECT – this is found on the Audit Clearance Document (ACD) for Audits and the AD-PYMR for Program Reviews. All other sources will provide the information. If not, use the "Bible" by the type of debt.
- QUANTITY – indicates the number of items. This is usually "1".
- ORIGINAL AMOUNT – This is the total amount of the bill line(s).
- FUND - this is found on the ACD, AD-PYMR: Provided or use the "Bible".
- FY – all documents are "F 1950".
- ORGANIZATION – refer to the ACD, AD-PYMR, or "Bible" if not provided.
- PROJECT - this is found on the ACD, AD-PYMR: Provided or use the "Bible".

b. Resources Required
1) Equipment: Standalone Year 2000 compliant PCs.
2) Staff Hours: 100.
3) Recommended Staffing: Five Accounts Receivable Staff members.

c. Roles and Responsibilities
1) Director FMO is responsible for determining if the plan needs to be implemented.
2) Accounts Receivable is responsible for performing the procedures.
3) Susan Johnson is responsible for writing the deposit procedures.
4) Shirley Tucker is responsible for writing collections procedures.

d. Implementation Timing
Plan will take affect upon FMSS being declared inoperable.

5. Recovery Actions
    a. Procedures
        1) Log into FMSS (i.e. FARS) and click on Documents, Accounts Receivables, Customer and enter the New Customer.
        2) Log information directly into the system.
        3) Save the data.
        4) Click Details.
        5) Click Financials.
        6) Enter EIN information in the EIN field using the second through the tenth position. Enter the first and last two numbers in the SIC field.
        7) Save the data.
        8) Exit.

    b. Resources Required
        1) Equipment: FMSS operational.
        2) Staff Hours: 2100.
        3) Recommended Staffing: Seven Accounts Receivable Staff members.

    c. Roles and Responsibilities
        1) Director FMO says when to resume normal operations.
        2) Accounts Receivable would be responsible for posting.

    d. Implementation Timing
        Must be completed within three weeks of FMSS being operational.

N.   **Collections Received at ED**

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. EDCAPS Complete System Failure	a. Could not input any collections data
b. FMSS fails, but GAPS is operational	b. Could not input any collections data
c. RS only fails	c. Unable to research any invalid Customer/DUNS numbers of incoming data
d. Data Corrupted	d. Could not perform function without accurate data
e. EDNET Fails	e. Could not enter data

2. Assumptions
   a. The US Postal Service will be functioning.
   b. Federal Express will be opened for business.
   c. The Banks will be opened for business.
   d. The Courier service will be operational.

3. Mitigation Actions
   a. Procedures
      Ensure that all collections are posted the last week of December.

   b. Resources Required
      1) Equipment: FMSS operational.
      2) Staff Hours: 40.
      3) Recommended Staffing: Five Accounts Receivable Staff members.

   c. Roles and Responsibilities
      1) Accounts Receivable would have to prepare procedures for manual handling of checks.
      2) GAPS would have to develop procedures for manual update of GAPS.
      3) Director Financial Management Operations (FMO) would determine when to implement the plan.
      4) Theresa, Shirley Johnson, Cynthia Logan, Susan, and Barbara Shoeman will be responsible for posting collections.

   d. Implementation Timing
      During the last week of December 1999.

4. Contingency Actions
   a. Procedures
      1) Checks are kept locked in a safe until prepared for deposit. The information on the checks and the backup accompanying checks is used to update the Collection Log (see Appendix C). This log will be used for all collections received in-house, lockbox billed, or unbilled. The comment sections will describe the form of receipt to extract the report needed to support that deposit.
      2) The "TO GAPS" will be used to extract the GAPS report. If it is yes for that date and CD then a report can be provided to the GAPS Team.
      3) The confirmation can be added from the Cash-Link down load.
      4) Using the information from the Collections Log transfer that information to the Spreadsheet log (see Appendix C). Use the receivable document to fill in the rest of the Spreadsheet log. Fields that has been explained will not be re-addressed. The fields are listed below:
         • PRINCIPAL COLLECTED – this will be on the Collection log or the backup.
         • INTEREST COLLECTED - this will be on the Collection log or the backup.

- ADMINISTRATIVE COLLECTED - this will be on the collection log or the backup.
- PENALTY COLLECTED - this will be on the collection log of the backup.
- PRINCIPAL ADJUSTMENTS – usually provided from DMG or other POs.
- INTEREST ADJUSTMENTS - usually provided from DMG or other POs.
- ADMIN ADJUSTMENTS - usually provided from DMG or other POs.
- PENALTY ADJUSTMENTS - usually provided from DMG or other POs.
- DELINQUENT DEBT CODE – must be bankruptcy, adjudication, or other
- REFERRALS - this is Treasury or Justice.
- AMOUNT REFERRED - the amount referred to Justice or Treasury.
- DATE REFERRED – date of referral.
- COMMENTS – this is reserved to enter anything that needs clarification and couldn't be explained.

   b. Resources Required
      1)   Equipment: Standalone Year 2000 compliant PCs.
      2)   Staff Hours: 100.
      3)   Recommended Staffing: Five Accounts Receivable Staff members.

   c. Roles and Responsibilities
      1)   Director FMO would determine when to implement the plan.
      2)   Theresa Todd will be writing the confirmation procedures.
      3)   Cynthia, Theresa, Susan, and Shirley will write the collections procedures.

   d. Implementation Timing
      Plan will take affect upon FMSS being declared inoperable.

5. Recovery Actions
   a. Procedures
      1)   Enter i.e. FARS and click onto Documents, Accounts Receivables, and Collections.
      2)   Depending on the type in the Comments section click Billed or Unbilled and enter the data from the Collection log.
      3)   Save the data.
      4)   Approve the transaction.
      5)   Exit.
      6)   Click Documents, Accounts Receivables, Collections, then Confirmed and enter the information on that screen.
      7)   Confirm the screen.
      8)   Exit.

    b. Resources Required
        1)   Equipment: FMSS operational.
        2)   Staff Hours: 2100.
        3)   Recommended Staffing: Seven Accounts Receivable Staff members.

    c. Roles and Responsibilities
       Accounts Receivable would be responsible for posting.

    d. Implementation Timing
       Must be completed within three weeks of FMSS being operational.

O. Transfer Receivables Balance File

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. EDCAPS Complete System Failure	a. Could not run A/R balance file. A/R balance file could not be populated in GAPS
b. GAPS fails – FMSS OK. Failure lasts 60 days or less (applies to all scenarios)	b. Could run A/R balance file in FMSS, but A/R balance file in GAPS would not be populated
c. FMSS fails, but GAPS is operational	c. Could not run A/R balance file in FMSS, and A/R balance file in GAPS would not be populated
d. Internal Data Corrupted	d. Could not perform function without accurate data
e. EDNET Fails	e. Could not run A/R balance file in FMSS, and A/R balance file in GAPS would not be populated

2. Assumptions
   Will not perform offsets if FMSS is down.

3. Mitigation Actions
    a. Procedures
       N/A.

    b. Resources Required
       N/A.

   c. Roles and Responsibilities
       N/A.

   d. Implementation Timing
       N/A.

4. Contingency Actions
    a. Procedures
        N/A.

    b. Resources Required
        N/A.

    c. Roles and Responsibilities
        N/A.

    d. Implementation Timing
        N/A.

5. Recovery Actions
    a. Procedures
        None required. File automatically transferred upon completion of entering
        Accounts Receivable and Collections data.

    b. Resources Required
        N/A.

    c. Roles and Responsibilities
        N/A.

    d. Implementation Timing
        N/A.

P.   Reporting

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. EDCAPS Complete System Failure	a. Would not be able to run any reports. Would not be able to maintain the 225-250 general ledgers/trial balances. This process would not be able to be performed manually
b. GAPS Fails - FMSS OK	b. Would not be able to receive any data posted from GAPS after it fails, but would be able to run reports on previously posted data
c. FMSS fails, but GAPS is operational	c. FMSS Fails - GAPS OK. Would not be able to run any FMSS reports
d. CPSS Fails - All other systems OK	d. Would not be able to receive any data posted from CPSS after it fails, but would be able to run reports on previously posted data
e. Data Corrupted	e. Could not perform function without accurate data
f. EDNET Fails	f. Would not be able to run any reports

2. Assumptions
    a. System would have to be down for 30 days.
    b. At least one Year 2000 compliant PC available.
    c. Can still receive electronic data (modem/overnight tapes) from data sources.

3. Mitigation Actions
    a. Procedures
        Run Transaction Pre-select Process and Trial Balances on 12/31/99 so that they are current.

    b. Resources Required
        1)   Equipment: FMSS operational.
        2)   Staff Hours: 24.
        3)   Recommended Staffing: Three.

    c. Roles and Responsibilities
1) Margo Crozier is responsible for running the Trial Balances and Transaction Pre-selects.
2) Jennifer Fleming and Selma Robinson run the Transactions Awaiting Posting (TAP) Files.

    d. Implementation Timing
All actions to occur on 12/31/99.

4. Contingency Actions
    a. Procedures
Reports will not be run until system becomes available.

    b. Resources Required
NA.

    c. Roles and Responsibilities
NA.

    d. Implementation Timing
NA.

5. Recovery Actions
    a. Procedures
FMO Director determines that system is on-line and will notify everyone that reports can be run.

    b. Resources Required
1) Equipment: FMSS operational.
2) Staff Hours: One.
3) Recommended Staffing: One.

    c. Roles and Responsibilities
1) FMO Director responsible for notifying everyone that Reporting capability is available.
2) Steve Sirk, Supervisory Systems Accountant, will direct staff about reporting.
3) Margo Crozier, Jennifer Fleming, and Selma Robinson will run necessary reports.

    d. Implementation Timing
As soon as system is determined on-line and operational.

Q.   Journal Vouchers

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. EDCAPS Complete System Failure	a. Could not perform posting of journal vouchers
b. FMSS fails, but GAPS is operational	b. Could not perform posting of journal vouchers
c. Data Corrupted	c. Data Corrupted. Could not perform function without accurate data
d. EDNET Fails	d. EDNET Fails. Could not perform posting of journal vouchers

2. Assumptions
    a. At least one Year 2000 compliant PC available.
    b. System would have to be down for 30 days.

3. Mitigation Actions
    a. Procedures
        1) Keep entering Journal Voucher (JV) data and posting as current as possible.
        2) All JVs that have been received will be entered into the system by/on 12/31/99.

    b. Resources Required
        1) Equipment: FMSS operational.
        2) Staff Hours: Eight.
        3) Recommended Staffing: One.

    c. Roles and Responsibilities
        1) Steve Sirk, Supervisory Systems Accountant, Financial Transactions, Payment Processing, & Reporting Group (FTPPRG), will ensure that all available JVs are entered and the system is current as of 12/31/99.
        2) David Miranda will enter JVs into FMSS.

    d. Implementation Timing
        Keep JV processing as current as possible with all available JVs entered into FMSS by/on 12/31/99.

4. Contingency Actions
    a. Procedures
        1) David Miranda will continue to follow the current established process and procedures for handling JVs. The time as well as the date of the

Journal Voucher receipt will be recorded on the Journal Voucher log (see Appendix C).

2) David Miranda will continue to receive the JVs from the normal sources.

3) He will continue to log the JVs on log sheets (currently used JV log sign in sheet is attached) with a unique JV identifier in the order of the date and time received.

4) All JVs will be logged into the specific log files depending on the nature of the transaction, i.e., financial statement transactions will be uniquely identified; reconciliation as well as travel adjustments will be uniquely identified, etc..

5) Mr. Miranda will maintain the hard copy JVs as is currently done but will NOT enter JV data into FMSS because of the system's unavailability.

b. Resources Required
1) Equipment: Year 2000 compliant standalone PC available.
2) Staff Hours: Eight.
3) Recommended Staffing: One.

c. Roles and Responsibilities
David Miranda is in charge of logging Journal Vouchers.

d. Implementation Timing
Journal Vouchers will be logged on a daily basis as received.

5. Recovery Actions
a. Procedures
1) David Miranda will enter JVs into FMSS and post in the order they were received.

2) Once the JVs are posted, David Miranda will stamp and date the hard copies as posted.

3) Upon system recovery, budgetary adjustments will be made prior to other transactions.

4) Payments will be processed next.

5) Steve Sirk, Supervisory Systems Accountant, FTPPRG will provide specific guidance on JV processing order or priorities at the time of recovery.

b. Resources Required
1) Equipment: FMSS operational.
2) Staff Hours: 40.
3) Recommended Staffing: One.

c. Roles and Responsibilities
1) Director, FMO is responsible for notifying all staff that FMSS is operational.

2) Steve Sirk, Supervisory Systems Accountant, FTPPRG, will direct David Miranda to initiate JV processing into FMSS.

3)   David Miranda is responsible for entering JVs into FMSS.

    d. Implementation Timing
        1)   Implementation of JV processing into FMSS will take place as soon as possible upon notification that system is operational.
        2)   One week is the anticipated time to recover from JV backlog and return to normal processing status.

R.   Batch Process

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. EDCAPS Complete System Failure	a. Could not perform batch process
b. FMSS fails, but GAPS is OK	b. Could not perform batch process
c. GAPS Fails - FMSS OK	c. Could not receive feeder files from GAPS
d. Cannot electronically transmit or receive data	d. Would not be able to receive feeder files from OPE/OSFA or other external entities
e. Data Corrupted	e. Could not perform function without accurate data
f. Feeder Systems Fail	f. Would not be able to receive feeder files from OPE/OSFA or other external entities
g. EDNET Fails	g. Could not perform batch process

2. Assumptions
    a. FMSS is down and feeder systems and GAPS are operational. Batch files will continue to be received from them.
    b. System down for 30 days.
    c. Year 2000 compliant PC is available.
    d. System will be slower upon resumption of service due to increase volume and catching up process of on-line processes.

3. Mitigation Actions
    a. Procedures
        Run batches as normal on 12/31/99.

  b. Resources Required
   1) Equipment: FMSS operational.
   2) Staff Hours: 16.
   3) Recommended Staffing: Two.

  c. Roles and Responsibilities
   1) Steve Sirk, Supervisory Systems Accountant, Financial Transactions, Payment Processing, and Reporting Group (FTPPRG), will maintain control of the batch files.
   2) FTPPRG staff, Ray Edwards and Brian Saunders, will run the batches.
   3) Director, FMO, will determine when to implement plan.

  d. Implementation Timing
   Batches will be run on 12/31/99 as usual.

 4. Contingency Actions
  a. Procedures
   1) Maintain current log (see Appendix C) of batch files as FTPPRG receives them.
   2) The logs will capture information about the date and time the batch files were received as well as the batch ID number, record count and hash total.   Logs and batch files will be maintained separately for each originating external source such as Direct Loan, FFELP, Payroll, Travel, IMPAC card, OPAC, and others. If the network or DEC Alpha is down, we will receive files (Loan program and Travel Disbursement) overnight via diskette from ACS or E-Systems.
   3) Upon receipt of batch file, System Accountants will review and verify transmission accuracy by checking the record count and hash number total of each batch file.
   4) For each batch file received FTPPRG staff will record information on log. The log captures information about date and time batch file received, batch ID number, record count, hash number total, person's name preparing log entry, any comments, columns to record status of batch processing in FMSS (yes/no and date processed) upon resumption of operations.
   5) Specific log files will be maintained according to the external source. Batch files will be logged onto their specific log file as they are received, i.e., Direct Loans on DL Log File Payroll on the PR Log File, FFELP on the FFELP Log File, etc.
   6) Batch files will be stored on a PC until ready for upload and processing into FMSS.

  b. Resources Required
   1) Equipment: Year 2000 compliant standalone PC available.
   2) Staff Hours: 160.
   3) Recommended Staffing: Two.

    c. Roles and Responsibilities
       1) Steve Sirk, Supervisory Systems Accountant, will assure that the control logs, log files, and batch logging procedures are developed. He will also assure that the appropriate staff have received and understand the batch logging and processing procedures.
       2) Director FMO would direct the implementation of the plan.
       3) Ray Edwards and Brian Sanders will be in charge of the receipt, verification, and logging of batch files.

    d. Implementation Timing
       Batches will be recorded daily as they are received.

5. Recovery Actions
    a. Procedures
       1) Process the batch files into FMSS in order.
       2) Process batch files into FMSS according to order received and date and time logged. Batch files will be processed within each system/external source in the order they were received/logged in FTPPRG.
       3) Upon system recovery, System Accountants will record when batches are processed into FMSS on the Batch Processing Log sheet.
       4) Staff will note the date and time each batch is processed on the final two columns of the log sheet provided to record processing into FMSS.

    b. Resources Required
       1) Equipment: FMSS operational.
       2) Staff Hours: 40.
       3) Recommended Staffing: Two.

    c. Roles and Responsibilities
       1) Director FTPPRG will run the files
       2) Director FMO will determine when to resume.
       3) Ray Edwards and Brian Sanders will run the batch files.

    d. Implementation Timing
       Upon system availability. Could take up to two months to catch up for one month of downtime. It doesn't take hardly any time to kick off a batch, but the system could take two to three hours to process the batch. Furthermore, the system may be slower because of increased volume as all processes try to catch up.

S.   Validation Tables

1.   Failures and Impacts

Possible Failures	Possible Impact(s)
a. EDCAPS Complete System Failure	a. Could not update validation tables
b. GAPS Fails - FMSS OK	b. GAPS could not access the updated validation tables
c. FMSS fails, but GAPS is operational	c. Could not update validation tables
d. CPSS Fails - All other systems OK	d. Could not load CPSS vendor file. CPSS could not access the updated validation tables
e. Internal Data Corrupted	e. Could not perform function without accurate data
f. Incoming Data Corrupted	f. Could not perform function without accurate data
g. EDNET Fails	g. Could not update validation tables

2.   Assumptions
     GAPS and CPSS are dependent on FMSS for the validation tables. Would not be able to validate data.

3.   Mitigation Actions
     a.   Procedures
          Validation Tables will be updated as required on 12/31/99.

     b.   Resources Required
          1)   Equipment: FMSS operational.
          2)   Staff Hours: Three.
          3)   Recommended Staffing: Two.

     c.   Roles and Responsibilities
          1)   Director FTPPRG will ensure that the system is current on December 31st.
          2)   Betty Theuer is responsible for updating the validation tables.

     d.   Implementation Timing
          Validation tables updated by 12/31/99, if required.

4. Contingency Actions
   a. Procedures
      1) Betty will receive the Validation Table update requests (see Appendix C) from their sources (same as current process).
      2) Betty will log them into the log file (see Appendix C) with a unique identifier.
      3) Betty will maintain the hard copy request.
      4) Validation Table Update request forms will be date stamped as received. Requests will be recorded in unique log files, i.e., general ledger requests in the general ledger log file, DOC/SAE requests in the DOC/SAE log file (see Appendix C), etc.
      5) Provide specific instructions to Betty Theuer for the receipt, verification and storing of validation table update requests.

   b. Resources Required
      1) Equipment: NA.
      2) Staff Hours: Four.
      3) Recommended Staffing: One.

   c. Roles and Responsibilities
      Betty Theuer is responsible for the receipt, validation, and logging of validation table updates.

   d. Implementation Timing
      Validation table update requests will be logged daily as received.

5. Recovery Actions
   a. Procedures
      1) NOTE: Validation tables must be updated before any other users can access the system.
      2) Steve will lock all users out of FMSS until changes are complete.
      3) Betty will update table changes to the FMSS ordering in such a way that all required parent codes come before dependent codes. Updated tables will be available for CPSS and GAPS.
      4) Once all changes are made, Steve will allow users access to the FMSS.

   b. Resources Required
      1) Equipment: FMSS operational.
      2) Staff Hours: Four.
      3) Recommended Staffing: Two.

   c. Roles and Responsibilities
      1) Steve Sirk is responsible for the coordination of locking and unlocking the system.
      2) Betty Theuer is responsible for updating the validation tables.

d. Implementation Timing
Tables would have to be updated ASAP (within four hours) of resumption of services.

T.   **Post to General Ledger**

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. EDCAPS Complete System Failure	a. EDCAPS Complete System Failure. Could not post anything to the General Ledger
b. GAPS Fails - FMSS OK	b. GAPS transactions would not be posted to the General Ledger
c. FMSS fails, but GAPS is operational	c. Could not post anything to the General Ledger
d. CPSS Fails - All other systems OK	d. CPSS transactions would not be able to validate funding or post to the General Ledger
e. Data Corrupted	e. Could not perform function without accurate data
f. EDNET Fails	f. Could not post anything to the General Ledger

2. Assumptions
The system will be down for 30 days to 60 days.

3. Mitigation Actions
   a. Procedures
      1) Make sure the General Ledger is a current as possible as of 12/31/99.
      2) By December 31, all batch files and journal vouchers data must be entered into and posted to FMSS.
      3) To the extent possible, all transactions on the Transactions Awaiting Posting (TAP) file must be cleared and posted.

   b. Resources Required
      1) Equipment: FMSS operational.
      2) Staff Hours: 240.
      3) Recommended Staffing: Six System Accountants.

    c. Roles and Responsibilities
       1) Director, FMS, will ensure that the system is current as of 12/31/99.
       2) Steve Sirk, Supervisory Systems Accountant, FTPPRG, will ensure all files are processed.
       3) FTPPRG staff will be designated responsibility for each activity.

    d. Implementation Timing
       1) All posting to the FMSS will be current as of December 31.
       2) Transactions on the Transactions Awaiting Post file will be cleared and posted to the extent possible at December 31.

4. Contingency Actions
    a. Procedures
       NA.

    b. Resources Required
       NA.

    c. Roles and Responsibilities
       NA.

    d. Implementation Timing
       NA.

5. Recovery Actions
    a. Procedures
       Upon system recovery transactions will processed and posted to the General Ledger in the following order:
       1) Post apportionments.
       2) Post allotments.
       3) Post obligations.
       4) Post receiving reports.
       5) Post invoices.
       6) Post payments.
       7) Post batches.
       8) Post confirmations.
       9) Post accounts receivable.
       10) Post collections.
       11) Post warrants.

    b. Resources Required
       1) Equipment: FMSS operational.
       2) Staff Hours: 240.
       3) Recommended Staffing: Six System Accountants.

      c. Roles and Responsibilities
           1) Director, FMO will determine when to resume system operations.
           2) Steve Sirk, Supervisory Systems Accountant, FTPPRG, will ensure posting to General Ledger is completed.
           3) FTPPRG staff will be assigned responsibility for each activity.

      d. Implementation Timing
           1) Posting transactions to the General Ledger will resume when systems are available.
           2) Postings will be completed within anticipated time of two weeks of system availability.

U.   Admin Payments

    1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. EDCAPS Complete System Failure	a. Payments can not be made without EDCAPS
b. FMSS fails, but GAPS is operational	b. Payments can not be made without FMSS
c. CPSS Fails - All other systems OK	c. Cannot perform 'okay-to-pay' which approves the payment
d. Cannot electronically transmit data	d. Cannot electronically transmit or receive data. If GOALS (access to Treasury) fails, payment files can not be uploaded to Treasury, and confirmation of payment can not be accessed or printed
e. Outgoing (to Treasury) data corrupted	e. Process can not function without accurate data
f. EDNET Fails	f. FMSS would fail, and payments could not be made

    2. Assumptions
      a. The system would have to be down for 30 days, allotments and obligating documents issued.
      b. Payment requests can be made through inter-office mail.
      c. At least one Year 2000 compliant PC available.
      d. Treasury and ECS connection are operational.

3. Mitigation Actions
    a. Procedures
        1) All payment requests through January can be scheduled and transmitted to Treasury as long as POCs have been issued allotments and obligations previously exist.
        2) Tom Jadwin will send out numerous emails to all of the Executive Offices beginning on 12/1/99, 12/8/99, 12/15/99, 12/20/99 and with a final notification on 12/24/99 to process all invoices regardless of due date and payment methods. Detailed instructions will direct POCs to contact vendors and to mail invoices early.
        3) Notify POCs to send all remaining Third Party check stocks to Accounts Payable, checks should be sent via messenger.
        4) POCs/Contracting Officers will request invoices in advance from vendors by 12/15/99.
        5) Tom Jadwin will transmit all admin payment schedules prior to 12/31/99 regardless of due date.

    b. Resources Required
        1) Equipment: EDCAPS operational.
        2) Staff Hours: 16.
        3) Recommended Staffing: One.

    c. Roles and Responsibilities
        1) POCs/Contracting Officers are responsible for requesting invoices in advance from vendors by 12/15/99 and entering them by 12/24/99.
        2) Tom Jadwin is responsible for notifying the Executive Offices and for transmitting all schedules by 12/31/99.
        3) Tom Jadwin is responsible for notifying the Executive Offices to send all unused checks stock in by 1/2/00.
        4) Tom Jadwin will provide Executive Offices with forms and procedures for processing of invoices/travel claims and local travel claims.

    d. Implementation Timing
        1) E-mail Executive Offices on 12/1/99, 12/8/99, 12/15/99, and 12/20/99.
        2) Retrieve invoices from vendors by 12/15/99.
        3) Have POC enter invoice by 12/24/99.
        4) Prepare and transmit schedules to Treasury by COB 12/31/99.

4. Contingency Actions
    a. Procedures
        1) Prepare instructions for automated/manual process for POCs, Contracting Officers, and Certifying Officers, including notification that no ACH payments will be allowed.
        2) Retrieve all 3rd party check stock and windowed enveloped from Executive Offices and reassign to Ray Kudobeck.
        3) Retrieve manual schedule forms from Treasury.

4) Printout vendor files during the week of 12/31/99 for TIN numbers, vendor addresses and names, and send to all Executive Offices.
5) Copy and distribute Invoice Certification Forms (see Appendix C), vendor files, and instructions to contracts and executive offices.
6) Load spreadsheet logs for direct 3rd party drafts (see Appendix C), normal 3rd party drafts (see Appendix C), and ECS payments (see Appendix C) onto Accounts Payable stand alone PCs.
7) Executive Office fills out Invoice Certification Form.
8) Authorizing party signs the form to verify the amount is approved for payment.
9) Executive Office sends to Accounts Payable.
10) Tom Jadwin verifies that the form is completed and signed.
11) Tom Jadwin determines payment type (<$10,000= TPPS, > $10,000 = ECS).
12) Tom Jadwin logs the payment information into the appropriate spreadsheet log based on payment type.
13) Tom Jadwin prepares the 3rd party check or ECS schedule.
14) **The following three steps are for ECS schedules only:** Tom Jadwin adds a "Y" to the schedule number to indicate that it is a schedule prepared under the Contingency Plan scenario.
15) Tom Jadwin sends the schedule to a Certifying Officer for ECS confirmation.
16) Tom Jadwin attaches the Invoice Certification Form to the invoice and files them chronologically.
17) **The following four steps are for 3rd party checks only:** Tom Jadwin adds the award document number to the 3rd party check.
18) Tom Jadwin sends the check to Ray Kudobeck to sign.
19) Tom Jadwin makes a copy of the invoice and sends the copy with the 3rd party draft to the payee.
20) Tom Jadwin attaches the Invoice Certification Form to the invoice and files them chronologically.

b. Resources Required
1) Equipment: Two standalone Year 2000 compliant PCs.
2) Staff Hours: One month, four staff members totaling 640 hours.
3) Recommended Staffing: Four.

c. Roles and Responsibilities
1) Tom Jadwin/Vicki Hoover will prepare the instructions and forms.
2) POCs and Executive Offices will complete portions of the Invoice Certification Forms.
3) Tom Jadwin will make payments, log payments, and file the appropriate documentation.
4) Certifying Officers will continue certification of ECS schedules as normal.
5) Ray Kudobeck will sign TPPS checks.
6) CPSS will print out the TIN numbers.

d. Implementation Timing
    1) Plan will take affect upon FMSS being declared inoperable.
    2) 3rd Party drafts will be collected upon implementation of Contingency Plan.
    3) CPSS will print out TIN numbers the week of 12/31/99.

5. Recovery Actions
    a. Procedures
        Direct Third Party Draft Data Input

        Steps 1-5 will take the user into the Direct Third Party Draft Header Maintenance Screen where the invoice data will be entered.
        1) On the i.e. FARS system menu screen: Choose Documents.
        2) From the Documents option: Choose Payment Management.
        3) From the Payment Management option: Choose Invoices.
        4) From the Invoices option: Choose Third Party Draft.
        5) From the Third Party Draft option: Choose Direct.

        Steps 6-20 must be followed to enter invoice information into the Direct Third Party Draft Header Maintenance Screen.
        6) In the Invoice Number field: Type the order number (as referred to in Step #12) plus the organization code.
        7) In the Office field: Enter "INVOICE".
        8) In the Vendor fields: If issuing a check for an employee reimbursement payment, enter the employee's Social Security number (no dashes) in the first field. In the second field, key in "001". If issuing a check for payment on a NationsBank Travel CBA or Fleet account, enter vendor "00009822" in the first Vendor field and "001" in the second field. If the SSN is not in the vendor file, contact Teanna Bigley (202- 401-0460) to enter the information.
        9) In the IRS 1099 field: Leave blank.
        10) In the Base field: Enter the total amount of the payment.
        11) In the FTO field: If applicable, type the amount of freight, transportation or other.
        12) In the Invoice Date field: Enter the invoice date which appears on the bill or form.
        13) In the Transaction field: Accept today's date as the default date.
        14) In the Received Date field: Accept today's date as the default date or key in the date the invoice was received.

        Please note that Prompt Payment interest will be calculated based on the later of the Invoice Date or Received Date.

        15) In the Order Number field: Type the applicable information using the following format:
            * First two positions = fiscal year, e.g., 99
            * Third position = - (dash)

- Fourth through eighth positions = Authorized Official Code, e.g., 10000
- Ninth position = - (dash)
- Tenth through fourteenth positions = sequential number assigned by each office for each authorized official code.
- An example of the order number format is 99-10000-00001.

16) In the Goods field: Leave blank.
17) In the Desc field: Enter the description of the document.
18) In the Order Date field: Enter today's date.
19) In the Ship To field: Type the organization code, e.g., EL, or click on the button to the right and choose from the drop-down list.
20) When complete: choose Actions and Save.

Line Item Entry

The user is now ready to enter the line item information. Steps 1-19 take the user through the Direct Third Party Draft Line Maintenance Screen.
1) From the menu bar: Choose Details.
2) From the drop-down menu: Choose Third Party Draft Line Entry.
3) The Direct Third Party Line Maintenance screen will appear. In the Line field: enter the line item number (1-3 digits).
4) In the Prior Year Obligation box: Select if payment is made using prior year funding. *Please note that all payments made with prior year funds must have Budget approval.*
5) In the Description field: Accept the default. This information will automatically populate with the document description entered in the Header Maintenance screen.
6) In the Goods field: Leave blank.
7) In the Quantity field: Type in the number of items.
8) In the Unit of Issue field: Type "EA".
9) In the Unit Price field: Enter the amount of the line item.
10) In the FTO field: If applicable, type the amount for freight, transportation, or other.
11) In the Object field: Type in a valid object class or click on the button to the right to choose from the drop-down list.
12) In the Acceptance Date field: Enter today's date.
13) In the Interest Exempt Box: Deselect if payment is subject to Prompt Pay. If the box is deselected, the payment's due date will be calculated 30 days from the later of the Invoice Date or Received Date. Please note that Prompt Payment interest will be added to the base amount of the check if payment is made after 30 days.
14) In the Terms field: accept the data supplied from the vendor file record or supply new information for the discount rate, discount days, or net days. The Discount Rate and Discount Days fields are optional. The Net Days field is mandatory.
15) In the Classification field: Enter the description of the type of transaction, e.g., GE for Goods Expensed, SE for Services Expensed, or TE for Third

Party Draft Expensed or click on the button to the right to choose from the drop-down list.

16) In the Ship To field: Type in your organization, e.g., EL.
17) In the Fixed box: Select if payment is due other than 30 days. After selecting this box, key in due date in the Due Date field.
18) In the Due Date field: Leave blank unless Fixed box is selected. If Fixed box is selected, key in due date other than 30 days. Please note that Prompt Payment interest will be added to the base amount of the check if payment is made after the due date.
19) When complete: Choose Actions and Save. After the Save function is completed, the user must enter the accounting events before the invoice can be approved.

Entering Accounting Events

Before the invoice can be approved, the user must enter the accounting string associated with the line.

1) From the Direct Third Party Draft Line Maintenance screen: Select Details, then Accounting Events.
2) From the List Invoice Accounting Event screen: Click on Add. The Maintain Invoice Accounting Event screen will appear.
3) From the Maintain Invoice Accounting Event screen, enter the following accounting events:
   - Short Code – leave blank.
   - Amount or Percent – If using one accounting event per line, key in 100%.
   - Fund Code.
   - Organization Code.
   - Fiscal Year – enter "F" in first field. In second field, enter the four-digit year.
   - Project Code.
   - Function – leave blank.

If unsure of what to key into these fields, click on the button to the right of each item to choose from the drop-down list.

1) When complete: choose Save. The List Invoice Accounting Event screen will appear. Verify that there are no errors (an "N" should appear under the "Errors" column) Click OK.
2) Choose: Actions, then Exit. The Direct Third Party Draft Header Maintenance screen will appear.
3) Choose: Status and Approve. Click OK. The document status will change to Waiting Post. Then choose: Actions and Open. The Open Direct Third Party Draft Header screen will appear. Review the Invoice Number, Invoice Date, and Vendor fields and select OK. Status will change to Draft Pending Print.

Printing the Draft

After the check status has changed to "Draft Pending Print", the user is now ready to print the draft. Steps 1-3 take the user through the printing process.

1) From the Direct Third Party Draft Header Maintenance Screen: Choose Actions, then Print Draft.
2) In the check number field: Key in the check number. This number will be ten characters long. To ensure accuracy, make sure to double check the number keyed in against the actual draft number printed on the draft. Before beginning the print process, make sure that the blank draft is placed in the printer's paper tray or individual paper feeder. Click on OK.
3) If printing was successful: Choose OK from the Verify Print Third Party Draft Screen. To exit Third Party Draft, select Actions, then Exit. Select Exit again.

If the printing was not successful, follow Steps 4-8 to void and reissue the draft.

4) From the Verify Print Third Party Draft Screen: Choose Void. Selecting Void will bring the user back to the Direct Third Party Draft Header Maintenance screen. Select Actions, then Open.
5) The Open Direct Third Party Draft Header screen will appear. Select OK. Status will change to "Draft Pending Print".
6) Choose Actions, then Print Draft.
7) In the check number field: Key in a new check number. Please note that the system will not allow the user to enter the same check number twice. This number will be 10 characters long. To ensure accuracy, make sure to double check the number keyed in against the actual draft number printed on the draft. Before beginning the print process, make sure that the blank draft is placed in the printer's paper tray or individual paper feeder. Click on OK.
8) If printing was successful: Choose OK. To exit Third Party Draft, select Actions, then Exit. Select Exit again.

Normal Third Party Draft Data Input

In order to make payment with Normal Third Party Draft, a user must have already established an obligation in CPSS. If required, a receiving report must also be entered into CPSS. Steps 1-5 will take the user into the Normal Third Party Draft Header Screen where the invoice data will be entered.

1) On the i.e. FARS system menu screen: Choose Documents.
2) From the Documents option: Choose Payment Management.
3) From the Payment Management option: Choose Invoices.
4) From the Invoices option: Choose Third Party Draft.
5) From the Third Party Draft option: Choose Normal.

Steps 6-19 must be followed to enter invoice information into the Normal Third Party Draft Header Screen.

6)   From the Normal Third Party Draft Header Screen: Select Actions , then Apply Order. Type in the applicable award document number and click OK.
7)   In the Invoice Number field: Type in the invoice number supplied by the vendor.
8)   In the Office field: Enter "INVOICE".
9)   In the Vendor field: Accept the default. This field will automatically populate with the vendor that was selected in the award document in CPSS.
10) In the Base field: Enter the total amount of the payment.
11) In the 1099 Code field: Leave blank.
12) In the FTO field: If applicable, enter the amount of freight, transportation or other.
13) In the Order Number field: Accept the default. This field will automatically populate with the award document number.
14) In the Desc. Field: Accept the default. This field will automatically populate with "SACONS".
15) In the Order Date: accept the default.
16) In the Invoice Date field: Enter the invoice date, which appears on the bill.
17) In the Received Date field: Enter the date the invoice was received.

Please note that Prompt Payment Interest is based on the later of the Invoice Date or Received Date.

18) In the Transaction field: Accept the default of today's date.
19) When complete: Choose Actions and Save.

Applying Line Items

The user is now ready to apply the applicable line item(s) and finish keying in the line item data. Steps 1- 13 take the user through the line item process.

1)   From the Normal Third Party Draft Header Screen: Choose Details, then Third Party Draft Line Entry.
2)   From the List Order Line screen: Highlight the order line to apply to the invoice. Click Select.

After selecting the order line, the system will bring the user back to the Normal Third Party Draft Header Screen.

3)   In the Quantity field: Type in the number of items.
4)   In the Unit Price field: Enter the amount of the line item.
5)   In the FTO field: If applicable, type the amount for freight, transportation, or other.

6)   In the Terms field: Accept the data supplied from the vendor record or supply new information for the discount rate, discount days, or net days. The Discount Rate and Discount Days fields are optional. The Net Days field is mandatory.

7)   Select one or more of the following boxes:
   - Interest Exempt – de-select if payment is subject to Prompt Payment interest. If the box is deselected, the payment's due date will be calculated 30 days from the later of the Invoice Date or Received Date. Please note that Prompt Payment interest will be added to the base amount of the check if payment is made after 30 days. *Field reader contracts are subject to Prompt Payment interest. The majority of small purchases are also subject to Prompt Payment interest.*
   - Final Liquidation – select to close out an award document.
   - Fixed Due Date – select if payment is due other than 30 days. After selecting this box, key in due date in due date field.
   - Prior Year Obligation – select if payment is made using prior year funding. *Please note that all payments using prior year funds must have Budget approval.*

8)   In the Due Date field: Leave blank unless the Fixed Due Date box is selected. If this box is selected, key in a due date other than 30 days. *Please note that Prompt Payment interest will be added to the base amount of the check if payment is made after the due date.*

9)   When complete: Click on Save.

10) From the List Order Line Screen, verify that the line item was applied ("Y" under the Appl. Column) and that there were no accounting errors ("N" under the AE column). *Remember that the total of the lines must be equal to the Normal Third Party Draft Header amount.* Click OK.

11) From the Normal Third Party Draft Header Screen: Choose Status and Approve Voucher.

12) Select OK to approve voucher. Status will change to "Waiting Post"

13) Select Actions, then Open. The Open Normal Third Party Draft Header Screen will appear. Select OK. The check status will change to "Draft Pending Print".

Printing the Draft

After the check status has changed to "Draft Pending Print", the user is now ready to print the draft. Steps 1-3 take the user through the printing process.

1)   From the Normal Third Party Draft Header Screen: Choose Actions, then Print Draft.

2)   In the check number field: Key in the check number. This number will be 10 characters long. To ensure accuracy, make sure to double check the number keyed in against the actual draft number printed on the draft. Before beginning the print process, make sure that the blank draft is placed in the printer's paper tray or individual paper feeder. Click on OK.

3) If printing was successful: Choose OK from the Verify Print Third Party Draft Screen. To exit Third Party Draft, select Actions, then Exit. Select Exit again.

4) If the printing was not successful, follow Steps 4-8 to void and reissue the draft.

5) From the Verify Print Third Party Draft Screen: Choose Void. Selecting Void will bring the user back to the Normal Third Party Draft Header screen. Select Actions, then Open.

6) The Open Normal Third Party Draft Header screen will appear. Select OK. Status will change to "Draft Pending Print".

7) Choose Actions, then Print Draft.

8) In the check number field: Key in a new check number. Please note that the system will not allow the user to enter the same check number twice. This number will be 10 characters long. To ensure accuracy, make sure to double check the number keyed in against the actual draft number printed on the draft. Before beginning the print process, make sure that the blank draft is placed in the printer's paper tray or individual paper feeder. Click on OK.

9) If printing was successful: Choose OK. To exit Third Party Draft, select Actions, then Exit. Select Exit again.

b. Resources Required
1) Equipment: FMSS operational.
2) Staff Hours: 20 hours X 10 POs, 40 hours X 2 for Admin Payments, 80 hours X 1 for Third Party Drafts = 360 total hours.
3) Recommended Staffing: 13.

c. Roles and Responsibilities
1) POCs will enter obligations and invoices in accordance with the procedures set forth.
2) Tom Jadwin will be responsible for ECS payments, matching actual paid schedules with invoices entered by the POCs.
3) Tiana Bigley will be responsible for 3rd party drafts, and ensuring all reconciliation files are entered.
4) Elliot Prissman will be responsible for matching and running the NationsBank files into FMSS.

d. Implementation Timing
Must be completed within thirty days of FMSS being operational.

V.   Payment Confirmation

1. Failures and Impacts

Possible Failures	Possible Impact(s)
a. EDCAPS Complete System Failure	a. Payment confirmation could not be inputted into APPO (FMSS component)
b. FMSS fails, but GAPS is operational	b. Payment confirmation could not be inputted into APPO (FMSS component)
c. Cannot electronically transmit or receive data	c. If GOALS (access to Treasury) fails, confirmation of payment can not be accessed or printed
d. Incoming Data Corrupted	d. Process can not function without accurate data
e. EDNET Fails	e. Payment confirmation could not be inputted into APPO (FMSS component)

2. Assumptions
    a. The system would have to be down for 30 days.
    b. GOALS system is working (there is also a plan available if GOALS is unavailable).

3. Mitigation Actions
    a. Procedures
        Tom Jadwin will make sure all schedules sent to Treasury in December will be confirmed by 12/31/99 (using current process in place).

    b. Resources Required
        1)   Equipment: FMSS operational.
        2)   Staff Hours: Eight.
        3)   Recommended Staffing: One.
    c. Roles and Responsibilities
        Tom Jadwin will make sure all payments are confirmed by 12/31/99.

    d. Implementation Timing
        All payments will be confirmed by 12/31/99.

4. Contingency Actions
    a. Procedures
        1)   Copy and distribute forms and instructions for internal control of payments and distribute to POCs (step already completed in the Contingency Plan for Admin Payments; see Appendix C).

2) If GOALS is inoperable, wait until it is working to confirm payments.

3) If GOALS is operating, save GOALS reports until FMSS is operating.

 b. Resources Required

  1) Equipment: Year 2000 compliant standalone PC available.

  2) Staff Hours: One.

  3) Recommended Staffing: One.

 c. Roles and Responsibilities

  Tom Jadwin will add the required column to the admin payments form. He will also distribute the forms and instructions to required personnel and train these personnel.

 d. Implementation Timing

  Plan will take affect upon FMSS being declared inoperable.

5. Recovery Actions

 a. Procedures

  1) Once all manually paid invoices have been entered into FMSS, Accounts Payable will need to confirm payments from the GOALS reports (see below steps).

  2) Enter Treasury payment date.

  3) Enter today's date.

  4) Enter beginning and ending check numbers.

  5) Enter dollar amount of schedule.

 b. Resources Required

  1) Equipment: FMSS operational.

  2) Staff Hours: Two.

  3) Recommended Staffing: One.

 c. Roles and Responsibilities

  Tom Jadwin will enter all payment confirmations.

 d. Implementation Timing

  Payments must be confirmed within 30 days of the system resuming operations.